
THE THIRD EDITION

EVERY OFFICER IS A LEADER

*Coaching Leadership, Learning, and Performance in Justice,
Public Safety, and Security Organizations*

With Forewords by:

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A note to the readers of the PRINTED version of this book

Throughout the book, there are hypertext links intended for the DIGITAL version of the book that provide access to rich content that supports key information, ideas and/or reference sources. Where there is a hypertext link without the web address specifically quoted in the text, the corresponding web address has been referenced and detailed in the **Endnotes – Hypertext Link Addresses** section at the end of the book for your information and lookup reference, if desired.

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About the Third Edition of Every Officer Is a Leader

Terry D. Anderson, PhD, Kenneth Gisborne, MA, CPP, Patrick HolHday, MA, and their seasoned cofleagues present a powerfully recast Third Edition of this best-selling book. An Online Course titled ***Phase IV of Credible Leadership*** is also available through the International Academy of Public Safety and through the National Command and Staff College. The course may transfer to your university degree program; as it is already transferable to several. In Canada, this course is available through the Canadian Police Knowledge Network

What You Can Gain by Reading this Book

Plan a leadership development curriculum for yourself and others that provides leaders with the skills they really need for modern police and public safety work.

Get ready for your next promotion with a portfolio of skills that fit any leadership position you are applying for. Assess your leadership skills in researched competency areas to enhance your leadership capabilities.

Create an individualized leadership development plan to target skills that you need to work on.

Influence local, national, and international security and public safety no matter what your position or agency.

Build a Leadership and Learning Organization to create a healthier, more capable organization to manage public safety.

Learn a proven Problem and Opportunity Coaching Model for collaborative problem-solving and decisionmaking.

Learn to build continuous improvement teams that can get better results and successfully design and execute strategic plans.

Learn about the ethics of leadership to enhance your critical decisions.

Learn about future trends and how to anticipate and respond to them.

Learn how leadership development has a profound impact on the morale and performance of individual officers, teams, and your organization.

What do experts in the field think of this Third Edition of Every Officer Is a Leader?

The rate and nature of change we are now witnessing demand transformational leadership at every level of our policing organizations. I'm not talking about positional leadership (e.g. sergeant, lieutenant, chief or sheriff). Instead, I'm referring to the compelling need for leadership that is framed, in an almost spiritual way, by the true purpose of policing - controlling crime in a just and rightful way that is consistent with the values espoused in our Constitution. This is why Every Officer Is a Leader is so important and should be standard issue to every peace officer.

Jim Bueermann, President of the Police Foundation

This book provides thoughtful insight to law enforcement managers who are ready to meet the challenges of leading and guiding their agencies through frequently difficult, but necessary, change.

Tony Narr (Ret'd), MA, Director of Management Education, Police Executive Research Forum

A truly inspirational book highlighting how effective grassroots leadership principles can transform any public safety organization into a high-powered and high-performing team.

Captain D. Michael Abrashoff (Ret'd), Former Commander U.S.S. Benfold - US Navy

This book not only offers the direction and the road map for the leadership development journey, it gives us the supplies and nourishment to thrive along the way.

**Jim Kouzes, Researcher, Professor and Co-Author of two best-selling leadership books:
The Leadership Challenge and Credibility**

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Dedications

To Dr. Mitch Javidi

This Special **Credible Leadership Edition** of our book is dedicated to Dr. Mitch Javidi and Deputy Chief (Ret'd) Mark Perez. After a careful and thorough examination of the history and authenticity of our work, Dr. Javidi adopted it as Phase IV of the Five Phase series of leadership courses. These courses are now offered by the Institute for Credible Leadership Development at the International Academy of Public Safety (www.LEOsLEAD.org). Phase IV is also available as the entry course in Command College (www.CommandCollege.org). Without Mitch, you would not be reading this edition of our book, and you would not be to take the course that accompanies this bookⁱ in the Credible Leadership Series. If you are in Canada, you may access Canadian Version of Credible Leadership through the Canadian Police Knowledge Network.

As of October 2017, the International Academy of Public Safety has trained law enforcement officers internationally for over 10.2 million hours of training since 2012. Mitch is an “envisioneer” with over 30 years of practical and hands-on business experience in diverse industries including Academia, Automotive, Banking, Insurance, Government, Military, Law Enforcement, Logistics, Oil & Chemical, Pharma, and Technology.

As a globally recognized leader, Mitch has trained at the Joint Special Operations Command “JSOC” and the US Army Special Operations Command “USASOC.” He was awarded the honorary member of the United States Army Special Operations Command in 1999. He served as a tenured Associate Professor at North Carolina State University for 16 years before taking an early retirement but continues to serve as a volunteer Adjunct professor at both NC State and Illinois State Universities. He is a member of the “Academy of Outstanding Teachers and Scholars” at NC State University and the Distinguished 2004 Alumni of the University of Oklahoma.

Mitch has published 4 books, over 100 articles, and presented at nearly 900 conferences worldwide. His most recent books are entitled ‘*Deliberate Leadership: Achieving Success Through Personal Styles, and Moral Compass for the Law Enforcement Professionals*’ and have sold over 10,000 copies. His 2015 coauthored article entitled “Human Factors: Police Leaders Improving Safety While Developing Meaningful Public Trust” coauthored with Dr. Anthony H. Normore and Lt. Darius Bone was published in the FBI Law Enforcement Bulletin. Mitch was the recipient of prestigious “Person of the Year” award by the National Society of Accountants ~ Senator William Victor “Bill” Roth, Jr. “Roth IRA” received the award in the following year.

The first study that has been done to determine the impact of Credible Leadership with more than 15,500 officers online can be viewed [hereⁱⁱ](#).

To Deputy LAPD Deputy Chief (Ret'd) Mark Perez

Deputy Chief Perez was assigned from 2013-2015 as the Los Angeles Police Department (LAPD)'s commanding officer of Personnel & Training Bureau, overseeing all talent management functions including hiring, training, continuing professional development, uniform and equipment, testing and evaluations, and development of strategic leadership cultivation. He initiated the Credible Leadership online training project in collaboration with Dr. Terry Anderson and the International Academy of Public Safety. He determined that, based on deeply researched and tested theory and practice in classroom and field testing, Credible Leadership systematically cultivates career-long leadership, performance improvement, and personal development of every employee from hire to retire.

From 2006 to 2013 Mark led the Professional Standards Bureau (PSB), which includes Internal Affairs, Force Investigation Division (Officer-Involved Shooting investigations), and Special Operations Division (covert investigations). At PSB he developed and implemented initiatives in the disciplinary system to reduce misconduct recidivism, one of which produced a 10% drop in misconduct recidivism, and the results were presented in a public report to the LA Police Commission. He also initiated quantitative performance metrics for investigative quality, using supervisor-supplied and end-user supplied data to assess quality and performance of investigators and quality of investigations; developed proxies for investigative quality in collaboration with supervisors and investigators using and assessed by the metrics.

From 2003 to 2006, while assigned as the LAPD Employee Relations Administrator, Mark led the team that replaced the officer evaluation system with a new one which more accurately portrays officer performance, resulting in a more than 90% reduction in evaluation-related grievances. He developed a practical system of supervisor-employee engagement to encourage effective performance of both leaders and followers. He has presented training in this system to sworn and civilian supervisors inside and outside LAPD.

Without Dr. Mitch Javidi and Deputy Chief Mark Perez you would not be reading this version of our book, and you would not be able to enroll in a course on leadership that is available online for officers of every kind. It is, therefore, with great appreciation that the co-authors of this book dedicate it to these two outstanding leaders. Deputy Chief Perez's legacy video that he made for all LAPD officers a week before his retirement can be viewed [hereⁱⁱⁱ](#). If you want to get pumped up about this course, watch the video!

Forewords

by Chief Jim Bueermann (Ret'd)
President, The Police Foundation, Washington, DC

Policing in America doesn't have as many constants as people think. Sure, there's always a degree of crime and disorder (of course it's ever changing). And the police are always there to address crime (but their tactics change). The one thing we can count on in policing is that change in society – where the police do their work – is constant and unrelenting. Similarly, the need for purposeful, ethically-based, and constantly evolving policing leadership is also constant and unrelenting. In a time when the terms “police violence,” “police legitimacy,” “procedural justice” and “trust and confidence in the police” have become commonplace this need has never been greater.

The rate and nature of change we are now witnessing demand transformational leadership at every level of our policing organizations. I'm not talking about positional leadership (e.g. sergeant, lieutenant, chief or sheriff). Instead, I'm referring to the compelling need for leadership that is framed, in an almost spiritual way, by the true purpose of policing – controlling crime in a just and rightful way that is consistent with the values espoused in our Constitution. This is why ***Every Officer is a Leader*** is so important and should be standard issue to every peace officer in the U.S.

Every Officer is a Leader acknowledges that every man and woman who puts on the badge of their community's policing organization must, in fact, be a leader. Whether that's leading a police organization, assuming command at the scene of a critical incident, helping one's peers do the “right thing” or “leading” a young person by helping them avoid drugs, gangs or criminality. Most cops I know are not enthusiastic about being referred to as social workers. But, by definition, that's what they are. Like it or not, society has decided (perhaps “allowed” is a more accurate term) that police officers are going to be America's first responders to not just crime or critical incidents but also to homelessness, mental illness, drug addiction, etc.

“Social agents” may be a better descriptive of where cops find themselves now and what we expect of them. Doing their best to manage some of the most tragic and heartbreakng situations we can imagine, police officers are the frequently the first, and maybe the only, face of government that people in dire circumstances encounter. The way the first responding officer or deputy treats these people will frequently dictate the outcomes they experience and enhance, or diminish, our individual and collective sense of legitimacy in the police. Accordingly, we need a higher, more expansive view of the leadership obligations – and requirements – for the position policing now assumes. And that's exactly what ***Every Officer is a Leader*** is about.

This book is a comprehensive and practical guide to the higher, professional level of leadership policing needs now. This Third Edition builds on the strengths of the first one and adds contemporary themes such as a focus on the future and the importance of innovation and continuous improvement. Leadership development in policing should be as much about tomorrow's opportunities and threats as it is today's.

What is extraordinary about this book is that it has become a research, competency and video-based online course titled, Credible Leadership Phase IV that is available to any officer or professional staff on the planet through the International Academy of Public Safety. It is also a part of a series of courses that enable officers of all ranks and support staff to fully develop professional leadership capacity from hire to retire. The skills in this book are the missing links in almost all previous leadership training courses.

Every Officer is a Leader is invaluable in helping agencies develop tomorrow's leaders by providing tools with which they can anticipate – and perhaps influence – an increasingly uncertain future. Perhaps, if they are truly committed to developing every one of their officers as leaders, this is the greatest gift policing leaders can give their communities. To paraphrase an old Greek proverb: “a policing agency will grow great when its elders plant trees (i.e. develop its future leaders) under whose shade they know they shall never sit.”

by Beverley A. Busson, COM, OBC, LLB, LLD (Hon),
Commissioner (Ret'd), Royal Canadian Mounted Police

It is a great honor as well as a privilege to have the opportunity to offer my thoughts about leadership in a justice, public safety, police, and security context.

As learning organizations, our public service agencies must continue to evolve and respond to both the current and future needs of those we serve. We need to continue to develop the foundation of trust that we enjoy from the citizens of our communities. As we further enhance our competencies and credibility, I believe we will continue to receive and build public trust.

The new millennium has brought a great deal of positive change to our society. With this, we also face a number of unique challenges brought on by the expansion and globalization of organized crime and terrorism, along with many concerns connected to violent crime and how it is affecting us at all ages.

Although we must continue to professionally enforce the law, this is only one component of the equation. Citizens are clamoring for dynamic leadership in public safety to an unparalleled degree. Now, more than ever, they have high expectations that public safety leaders must be accountable as positive forces in maintaining and enhancing safety in their communities. They want leaders to be champions of public safety, catalysts for positive change, and innovative problem-solvers. Community members expect us to address the issues that will have significant impact on their lives.

The designation of “peace officer,” in addition to “law enforcement officer,” reflects a commitment to champion public safety in a pro-active way. In essence, law enforcement, although necessary, must be the last resort when all the other opportunities to deal with problematic situations have failed. Therefore, a critical need is for leaders to become better equipped to mentor, coach, and develop other leaders, both within their agencies and in their communities. Developing this essential kind of leadership will enhance our collective abilities to be more effective, in partnership with other community leaders. In this way, we will create future-oriented solutions to complex, emerging problems.

The primary purpose of this book is to provide resources that will enable us to lead the way in this endeavor.

This book is also a practical handbook that can prepare leaders to offer the support, assistance, knowledge, skills, and tools to address critical community issues on local, national, and international levels. In this way, we can be advantageously pro-active as dynamic providers of justice, public safety, police, and security services by learning to identify and address the causes and not just the fallout of social dysfunction.

This book truly offers a vision of hope—and a challenge and an opportunity—to redefine our work as leaders in the 21st Century as architects and catalysts of social transformation.

Preface

If you are reading this book, you are likely enrolled in Phase IV of Credible Leadership, or you are thinking about enrolling in it. If you are not enrolled yet, we are extremely pleased that for the first time in history anyone who wants to become a better leader in justice and public safety settings can [access training online^{iv}](#). Phases I-III and Command College are also available so that officers and professional staff can all access the latest quality leadership education from pre-hire to retire.

Perhaps our greatest challenge in the 21st Century is that leaders must establish the links necessary for proper coordination of effort among all public safety agencies. In addition, leaders must nurture the personal relationships with other agencies' leaders and the community that allow seamless cooperation before crises occur and during times of crisis.

The recent events in history demand that we pay attention to these issues.

The Eight Major Challenges

Internal confidential studies conducted by several large public safety agencies revealed the following eight major challenges that this book addresses:

1. How to motivate the thousands of front line staff with more than 15 years of service.
2. How to prepare for the loss of thousands of highly experienced leaders and transfer their wisdom to those who have less experience.
3. How to attract and deal with the high expectations and demands of the next generations that are entering the force.
4. How to ensure that technology facilitates and does not frustrate those required to seek e-learning opportunities and other technologies such as body cams and richer data-based intelligence.
5. How to prepare the next generation of leaders.
6. How to accomplish more in times of financial restraint.
7. How to earn more public trust and legitimacy in the minds of the public.
8. How to deal with [VUCA^v](#) (Volatility, Uncertainty, Complexity, and Ambiguity) and gain resilience in times of turmoil, rapidly accelerating change, and terrorism of various sorts.

The Purpose of this Credible Leadership-focused Third Edition: The Professionalization of Leadership

Traditionally, most leaders have received an introductory course or two in supervision and/or management. This introductory training has often not been offered to officers prior to their assuming their new roles at the rank into which they have been promoted, but is offered to them within one year or later after they assume their new responsibilities as supervisors or managers. Some of them have taken courses in a university program where they have learned more depth of understanding about the concepts and principles of leadership. But most of us can attest to the fact that the average leader is average, at best. The introductory courses they have taken were important as foundations of knowledge about leadership and managerial effectiveness but have not equipped officers to demonstrably master the skills that are necessary for some degree of verified leadership effectiveness in practice. In business, this is often accepted (and most businesses fail before 3 years) but in law enforcement, we must strive for more.

We want to provide an even more integrative, comprehensive model and set of tools for leadership development that result in enhanced organizational effectiveness and community safety impact. A shift toward a more interdisciplinary approach is already occurring in the fields of coaching, communication, counseling, emotional and social intelligence, organization development and change, and leadership. It is essential therefore that professionals who educate others to work in justice, public safety, private security, and the military shift to broader and more integrative educational models, if personal, interpersonal, and organizational challenges and security, safety, and social problems are to be more potently managed and better prevented. We tested the effectiveness of the original Transforming Leadership Model for over 25 years at the University of the Fraser Valley in British Columbia, Canada before writing even the First Edition of this book in 2000. To read about the history of this competency-based approach to leadership development you can go [here^{vi}](#).

We want readers to find opportunity and challenge to self-examine, gain a renewed sense of purpose, clarify their foundational beliefs and ethical stance, and gain a broad spectrum of knowledge and skills that affect their organizations' effectiveness to enhance public safety and deliver service. These new skills will ready them to build and lead what we are calling The Leadership Organization. Considering this stated purpose, this book seeks to present a positive and hopeful approach: an integrative and innovative self-assessment and skills development curriculum—one we trust can accomplish several objectives:

- Relate and show how the concepts of Transforming Leadership can apply to today's reality.
- Inspire new vision in the minds of leaders who will design and implement leadership development and training in the future.
- Inform justice, public safety, and security employees and officials about the need for complex sets of skills that enable collaborative leadership, problem-solving, future management, and opportunity management.

- Provide a foundational text for public safety and security training agencies to introduce learners to the critical elements of leadership performance, organizational change, and optimization.
- Provide a self-assessment and planning process for those who would read the book.
- Elucidate why it is important for leaders to take leadership development more seriously as a strategic organization development priority.

What Will Leaders Gain from Reading this Credible Leadership Edition?

Reading this book will provide you with up-to-date and real-world content that will assist you to:

- Identify and capitalize on your own and others' leadership strengths.
- Assess training requirements to pinpoint the need for a supervisor or manager (or potential supervisor or manager) to gain critical knowledge and skills to become a better leader of individuals, teams and organizations.
- Formulate a planning guide for internalizing key knowledge in areas that are self-assessed as deficient.
- Develop leaders who will, as they become more adept, be better enabled to develop other leaders through training, coaching, mentoring activities and programs.
- Focus on needed and specific "micro" skills training until competency is attained in the areas determined to be necessary for effective leadership functioning.
- Expand "awareness" and "versatility" skills needed to adapt to fast-changing, dangerous, or otherwise demanding environments using role, style, and skill-shifting skills.
- Prepare designated leaders to become competent as Transforming Leaders so they can coach others.
- Direct your focus toward innovative resources that can act as catalysts to facilitate further individual, group or organization development.
- Identify where you and others stand with current skills and those needed to do to develop greater competence.
- Update yourself and others with the latest methods in personal, team, and organization development and transformation.
- Teach others skills that can help in building both a leadership and a learning organization.
- Understand current realities and see how Transforming Leadership fits into world of today.
- Develop an overarching curriculum for training programs using this foundation text for the preparation and development of leaders from the time they enter their agencies and throughout their careers.

- Develop specific competencies related to building a leadership and learning organization, particularly a continuous improvement team.
- Act as a “turbo-charger” to transform typical justice and public safety cultures into more humanizing workplaces, while simultaneously attending to the security and enforcement requirements of the communities served.
- Learn about coaching and mentoring and how these skills can be applied in the above transformation process.

What's New in this Credible Leadership-focused 3rd Edition of Every Officer Is a Leader?

There is a new focus on *why* effective leaders are required to manage local, national, and international security: This new edition illustrates *how* and *why* leadership development is a necessary preparation for managing change and risk in a security conscious world. The chapter has been updated to reveal important security implications. Co-author Kenneth Gisborne, certified security consultant and retired technical security specialist with the RCMP, presents issues and solutions for leaders to consider and implement.

Real examples from the field reveal how and where a new leadership-coaching focus has helped install organization-wide continuous improvement technology and approaches.

MAGNUS Officers: In this Third Edition, we are introducing the latest development for leaders that includes a focus on developing the inner strength and resilience that is required for effective leadership performance in any role...especially during times of VUCA (Volatility, Uncertainty, Complexity and Ambiguity).

Building on the work of Aristotle and Sir Robert Peel, this brief summary introduces the concept of the [Magnanimous Officers^{vii}](#) “MAGNUS” (MAGNAnimoUS) is a refined description of the law enforcement officers who serve and protect with virtues, shared vision and shared leadership, who pursue lives that have trusting relationships and consequence. This concept captures the essence of what is required for effective leadership that doesn’t derail. And, [according to a meta-analysis of the leadership literature^{viii}](#) over 50% of leaders derail! There are some great leaders but there are very few of them who are coaching and mentoring – and they will tell you why: They just don’t have the time! Of course, this isn’t true because coaching and mentoring can happen in the context of work getting done if they know how to do that kind of real-time leadership coaching. But most don’t know how to do it. Together, we can now change that and bring leadership to a new level where derailment is reduced and competence is enhanced. Magnus provides the foundational ethical clarity that will help to make this happen.

MAGNUS Defined: The MAGNUS officer deploys habits of action by deliberate choice defined by sound reason. The actions are not simply isolated behaviors but a set of studied virtues mastered overtime. For a deed to be magnanimous, the Officer must act deliberately while demonstrating compassion and understanding. The MAGNUS officer is the one who

intentionally acts with prudence and self-control. They are credible because they embody the noble cause of serving justice shielded under the authority of faithfulness, humility, respect, compassion, wellness, responsibility, truthfulness, honor, gratefulness and servant-guardianship. Challenged with instances of great risk, the MAGNUS officers accept the mission with automatic accountability and a Moral Compass, paying it forward. In summary, MAGNUS leaders embody and communicate these [30 Virtues^{ix}](#).

MAGNUS + Task Competence and Skills Competency = Extraordinary Leadership. This new edition retains the powerful elucidation of the well-established and field-tested [40 leadership tasks and responsibilities^x](#) (validated in multiple studies with over 8000 police leaders). We are also retaining the 60 Transforming Leadership Skills in this book (validated by research in business, counseling and social work) that strengthen leaders' abilities to perform the leadership tasks that apply directly to the work of police, justice, and public safety leaders. Here is the simplest but most comprehensive operational definition of leadership that we have found:

$$\text{MAGNUS} + 40 \text{ Tasks} + 60 \text{ Skills} = 100\% \text{ Leadership Competence}$$

40 LEADERSHIP TASKS

60 TRANSFORMING LEADERSHIP SKILLS

Magnus Leadership Virtues

Clarity about the 40 Tasks of effective leaders, and the 60 skills that strengthen leaders' ability to perform them, have, for the most part, been the missing link in training programs that we have reviewed and studied. We have synthesized in one place for you to be on the cutting edge of leadership education, training and development. All theories of leadership can be hung on this overarching Transforming Leadership Model.

Leaders Take Responsibility for Their Own Leadership Development! This 3rd Edition now offers a Self-Managed [360 Degree assessment^{xii}](#) that measures the extent to which leaders are perceived by their supervisor, peers and subordinates to be effectively practicing the 40 Tasks of Effective Leaders. It is totally confidential and you build your own brief, clear leadership development plan based on feedback you ask for from others who you trust to tell you the truth about your leadership behaviors (we have found this is the best way to make learning happen when using 360's. They can also seek out internal and/or external [coaches and mentors^{xiii}](#) to help them build their leadership capacity by building a [brief leadership development plan^{xiii}](#), and possibly (optionally) sharing it with their supervisor, or by submitting a positive report during a promotional interview (we have seen that this works incredibly well to help officers win promotions).

Another more high-tech opportunity to get feed-forward (better than feedback) from colleagues about your leadership performance is to use the new **Triggers APP** that is being designed for us

by Marshall Goldsmith's team: I have read the *Triggers* book, and the *What Got You Here Won't Get You There* book by Marshall. I recommend them highly, but if you read the Triggers book the APP will make a lot more sense and it will be more applicable.

You can also access and try out the Triggers APP, which we have access to from Marshall. You can register and download the APP here <https://goo.gl/6ea64C>. This APP is cool because you can choose a few skills to work on, check your progress at the end of the day with a quick self-assessment and ask a few people who you trust to be honest with you to give you feedback on the skills you are working to develop (after a meeting that you are facilitating, for example).

All Officers and Professional Staff can be certified that they are competent as Credible Leaders in Phase IV if they go through a two-day or online coached certification process. [Certified leaders^{xiv}](#), after they are certified in Phase IV, can act as leadership coaches in their agencies, as blended learning facilitators, and organizational change agents in their own agencies, eliminating the need to hire external change agents and coaches. They can also facilitate the certification of other leaders in their agencies so that they won't need external Certified Consultants to do this training. In this way, the organization can become what has been called a "totally coached" organization, where coaches develop other coaches and enjoy seeing ongoing positive results in creating better workplaces and safer communities.

For those of you who are more academically-oriented, you can review the [Matrix Model^{xv}](#) where you will see that the 40 Tasks, 60 Skills and the 5 Practices of Exemplary Leaders intersect and conceptually cross-validate one another into a larger, even more comprehensive and integrated model that includes the research of Jim Kouzes and Barry Posner (made popular in their book, *The Leadership Challenge*). It is our expectation that future research will likely validate that this integrated model is a breakthrough in clarity of understanding about leadership based upon our field studies and classroom environment results. *The Five Practices of Exemplary Leadership revealed by global research^{xvi}* are more thoroughly validated than most any theory of leadership. Jim Kouzes' comment to me in an email he sent to me recently about our work is quoted as follows:

As you indicate, your work and ours are very compatible, and that's something we've communicated about for over 20 years. Also, your work on the more micro behaviors is extremely useful to leaders in guiding their day-to-day applications. I am delighted that your work is getting the acceptance that it deserves in law enforcement. We wish you the very best with this. As you note in your email, unless participants get coaching after they learn the concepts and get ongoing feedback, the chances are that they won't apply their knowledge. We agree completely, and this is why our training partners offer coaching as part of our more extensive programs.

In addition to the above, a new and more practical focus on Coaching a Leadership and Learning Organization has been added to the book to help you see how you can build teams and enhance organizational performance and accountability. This focus reveals how leaders can implement the 60 Transforming Leadership skills in their own teams to **get leveraged results of building a better place to work that makes communities safer.**

Where Has This Worked Before? Real world reports on how the Credible Leadership approach has been implemented have been added, including lessons learned about obstacles to successful implementation of Transforming Leadership skills, principles, and practices. You can also read about the previous leadership and organization development work that Dr. Anderson has done [here^{xvii}](#) and you can see the backgrounds of other Certified Coaches [here^{xviii}](#). Most of the coaches are Certified, retired police executives who want to support their colleagues to move into 21st Century practices that get results. More than 15,000 officers have completed online Credible Leadership training with positive outcomes that are revealed in an [Impact Study^{xix}](#) that we completed last year.

Becoming Certified Credible Leadership Organization (CLO): This initiative addresses our vision of the Professionalization of Leadership in justice and public safety. Becoming a CLO has clear but simple requirements and leads to the organization integrating best business and team leadership practices into their agencies so that they enjoy the benefits of 21st Century innovations and efficiencies that enhance performance, morale and public trust. If you want to see a video introduction to this important innovation for organizations to optimize everything they do [you can see this video now^{xx}](#).

The Criminal Justice Commission for Credible Leadership Development (CJC-CLD®) is the official Certifying Body of the International Academy of Public Safety. It is an alliance of professionals qualified to develop and certify credible leaders and organizations in law enforcement, corrections, and the military. The CJC-CLD is responsible for qualifying Credible Leadership Organizations (CLO) and training Certified Credible Leaders (CCL) that have successfully completed the coursework offered by the [Institute for Credible Leadership Development^{xxi}](#).

[These designations^{xxii}](#) are recognized internationally as symbols of quality reflecting an organization's and an individual's commitment to meeting CJC-CLD's ethical and performance standards. [Read More^{xxiii}...](#)

The Vision is Being Realized. The vision we originally had in 1983 that we would build a leadership development program that will develop leaders who:

1. can develop other leaders
2. can build teams and organizations
3. that have positive community impact

This vision has come to fruition and you are participating in it by taking this course! Thank you for joining us in this noble, global endeavor that is becoming a movement toward the vision of the **professionalization of leadership in justice and public safety**, like other respectable professions such as doctors, lawyers, dentists, accountants, plumbers, electricians, etc.

Overview of This Book

The central focus is an examination of how leadership development can have a truly profound impact on the morale and performance of individuals, teams, and organizations with a resultant impact on service delivery and security in the communities they serve. The innovative conceptual contribution of Transforming Leadership is that it demonstrates how it is necessary to build “a leadership organization” before—and to an extent while—you move ahead into building a “learning organization” that is responsive to community and internal organizational needs. This is like continuously improving a car while you are driving it, but this is what we must do.

The personal, team, and organization development skills outlined in this book are the necessary pre-requisites to successful implementation of any leadership development program, public safety operation, community policing strategy, or community initiative.

Implementing Coaching and Mentoring Programs

This book squarely addresses the issue of coaching and mentoring, with an emphasis on the importance of the role of executive and leadership coaching and mentoring—in addition to whatever competency-based training may be undertaken—for leadership development. Leaders develop leaders by co-coaching one another in real time and providing one another with feed-forward (ideas about how to improve future performance). This practical approach to developing leaders while work gets done is revolutionary, simple, ongoing and effective. We even got permission from Marshall Goldsmith to link [all of his coaching videos^{xxiv}](#) for you to learn from. This is truly a gift that anyone can get some of the best coach training in the world. Thank you, Marshall.

When leaders have the requisite skills, they are much more capable of leading teams to achieve organizational results that meet community needs and solve community, interagency, national, or international problems. There is a need to take advantage of technology in the transfer of leadership knowledge and skills; this book provides resources to get the reader started on the journey of leveraging technology to enhance leadership competence.

An Overarching Framework for Other Leadership Models

This book also provides a model for integrating other models into a holistic leadership-development framework. It provides a map for developing critical leadership skills. This Third Edition augments the First Edition of *Every Officer Is a Leader: Transforming Leadership in Police, Justice, and Public Safety* (CRC Press, Boca Raton, 2000). This Third Edition also updates the Second and Revised Second Editions of the book in the following ways.

- More and updated examples from police, corrections, customs, immigration, private security, non-profit, and business environments are woven throughout the book.

- Business and non-profit examples have been retained at the recommendation of key leaders in the justice and public safety systems, because the business community is often ahead of the criminal justice system in the areas of leadership and organization development.
- Online access to skills modeling videos that make the skills more understandable and transferrable to your workplace and life.
- Updated links and resources that are now available that weren't available in the previous Edition.
- A completely updated chapter on terrorism because of the more recent developments in the past 5 years.

The Structure of This Book

The following is a summary of the contents of the book.

- Dedication to Dr. Mitch Javidi and Deputy Chief Mark Perez
- Forewords by Jim Bueermann and Beverley Busson
- Preface
- Acknowledgements for the Credible Leadership-focused Third Edition
- Co-Authors
- Contributing Authors
- **Part I – Introduction**
 - Chapter 1: Transforming Leadership Builds The Leadership and Learning Organization
- **Part II – Transforming Leadership Skills**
 - Chapter 2: Transforming Leadership: The Model and Principles
 - Chapter 3: The Skills of Personal Mastery
 - Chapter 4: The Skills of Interpersonal Communication and Conflict Management
 - Chapter 5: Coaching Skills for Problem and Opportunity Management
 - Chapter 6: The Skills of Team and Organization Development
 - Chapter 7: The Skills of Versatility in Style-Shifting, Role-Shifting and Skill-Shifting
 - Chapter 8: The Skill of Applying Ethics in Transforming Leadership
- **Part III – From Theory to Practice**
 - Chapter 9: Practical Application 1: Coaching a Leadership and Learning Organization for Continuous Improvement
 - Chapter 10: Practical Application 2: Community Safety and Security is Everyone's Business
 - Chapter 11: Practical Application 3: A Futures Perspective on Leadership Development
 - Chapter 12: Practical Application 4: Optimizing Local Responses to Current and Shifting Terrorist Trends
 - Chapter 13: Putting Skills into Action: Creating the Inclusive Workplace

- Chapter 14: Practical Application 6: Shared Leadership in Action – Practical Applications of Transforming Leadership at the Richmond Detachment
- Chapter 15: Practical Application 7: Continuous Improvement Teams for Police and Law Enforcement Agencies
- Chapter 16: Practical Application 8: Lean Six Sigma for Law Enforcement
- Chapter 17: Prologue: Police Leadership from a Futurist Viewpoint
- Index

Who Should Read this Book?

Current and aspiring justice, public safety, and private security leaders should read this book. They may be from organizations that include the following:

- Police and Law Enforcement Agencies
- Homeland Security
- Military
- Regulatory Agencies
- Public Service Agencies (fire, ambulance)
- Private Security Agencies
- Correctional Agencies
- Corporate and Governmental Security Departments
- Universities, Colleges, and Justice Institutes
- City Managers, Mayors and Council Members

This book is intended for a diverse readership. A rich composite of competencies is needed by the wide range of professional leaders who will read this book. The reader should expect to find examples of various concepts and skills from a variety of working environments. These include business, education, health, social services, criminal justice, and government, because police and other justice and public safety leaders find themselves interfacing with—and learning from—all these areas, where leadership is applied daily. For the first time that we know of in history it is possible that everyone who works in an agency will have a foundational understanding and agreement about what leadership is, and how it can be developed. We are currently working on a Fire Edition of this book and plan to see it be published in 2018.

Leaders Who Want to Prepare Less Experienced Individuals to Lead More Effectively

This book provides the content, structure, and coaching process for the development of those who want to be effective in preparing other leaders to lead more effectively—whether they are in executive positions, managing teams, supervising squads, and counseling, coaching or mentoring.

An organization that initiates and sustains this kind of development is called a **Leadership Organization**. This kind of organization stimulates and realizes competency-driven performance improvement that has measurable positive project outcomes. Anyone wanting to achieve these objectives could benefit from reading this book.

Professional Coaches, Consultants, and Trainers

Those newer to their external or internal coaching, consulting, and training positions are often lacking in some of the key skills they must have to be effective in developing leadership capabilities in others. Prior to attempting specific leadership development projects or programs, they may need to develop in certain areas.

This book will act as a personal and professional development planning guide for younger leadership-development professionals who will prepare those less experienced or lacking in certain areas of competence. This book can therefore function as a challenging orientation for those who plan to enter the fields of coaching, consulting or training in the criminal justice system.

Managers Who Want to Improve Their Competence

This book can benefit leaders who have had success in their leadership endeavors but who wish to hone their awareness and skills or develop the skills in which they feel deficient.

Several police organizations that have established Transforming Leadership initiatives have achieved the desired impact. Some individuals simply did not have training in interpersonal skills, decision-making, problem-management, change-management, or various other skills.

Many lacked training in other critical leadership areas such as group and team development, strategic planning, meeting effectiveness, organizational needs and problems assessment, culture-building, or organizational effectiveness optimization. This book and the online Credible Leadership Course will serve as a catalyst to help individuals fill in some of these gaps.

Leaders Who Are Not Confident in Their Management or Leadership Capabilities

This book can also be of value to those who have been timid in their leadership or who are fearful or rigid (in our experience, this is a frequently encountered problem among untrained leaders), due to lack of training or experience. It is often from lack of knowledge, lack of skills, lack of opportunity, or the presence of fear that many leaders fail to develop the kind of leadership impact they would really like to have. Our data from decades of doing pre-post leadership skills assessment videos with our students who took our leadership classes in traditional educational settings, indicate that more than 50% of leaders lack key competencies that would enhance their performance and credibility, regardless of their previous education level or previous training experience. These people can benefit instantly from going through this Credible Leadership Course.

Aspiring Leaders

This edition could be used as an adjunct to existing texts and to update many criminology or criminal justice university programs still functioning without any kind of comprehensive theory and skills model or competency-based leadership training program. There is an important move afoot in many programs to provide both a liberal arts education and competency-based educational opportunities prior to graduation, with even a Baccalaureate degree. Employers in the criminal justice system are demanding a wider range of such skills.

Every Officer Is A Leader is for those who inevitably lead in the family unit and who wish to use this same knowledge and skills to stimulate and encourage the development of their spouses, their children, and themselves. Even though the book focuses primarily on leadership in supervisory and management-type positions, we have written it in such a way that those who are parents or life-partners will find the book accessible. They, too, are leaders on the grandest scale.

Last, parents and life-partners can potentially make more impact on our culture and our world than perhaps any other people. Some of the skills in this book can be used to strengthen current marriages and other significant relationships. In the justice and public safety systems, where divorce statistics soar, anything that will help in this area will be a welcome gift.

Acknowledgements for the Third Edition

First, there is a very real appreciation for **over 8,000 of Dr. Anderson's students** in the communication, problem-management, and leadership courses at the University of the Fraser Valley who have given feedback about the clarity, practicality, or difficulty they had with various parts of the First Edition of Transforming Leadership and the First and Second Editions of Every Officer Is a Leader over a period of more than two decades. Thanks to them, Transforming Leadership Theory has become more understandable and practical in its applications in the field. Each of these students had a Field Practice Supervisor, who evaluated the extent to which students were able to demonstrate the skills in the book. They also had to demonstrate mastery of the skills or they would not be able to pass their field practice assignments. Because of their suggestions, new and exciting co-authors were asked to participate to make the concepts come alive with real world examples.

Appreciation and recognition goes to **Jim Bueermann**, who has written a Foreword to this Third Edition. Jim is the President of the Police Foundation and is leading the way toward the transformation of leaders and agencies who will be instrumental in restoring public trust, legitimacy and significantly reducing crime. The Police Foundation is a national, nonpartisan, nonprofit organization dedicated to supporting innovation and improvement in policing through its research, technical assistance, training, professional services, and communication programs. As President, Bueermann directs all foundation operations and is a voting member of the board of directors. He worked for the Redlands Police Department for 33 years, serving in every unit within the department. He was appointed chief of police and director of Housing, Recreation and Senior Services in 1998. He retired in June 2011. As chief, he developed a holistic approach to community policing and problem solving that consolidated housing and recreation services into the police department and was based on risk and protective factor research into adolescent problem prevention. This strategy was recognized as one of the country's 25 most innovative programs in the 2000 Innovations in American Government program sponsored by Harvard's Kennedy School. Jim was the first police chief to be inducted as an honorary fellow in the Academy of Experimental Criminology and into the halls of fame at George Mason University's Center for Evidence Based Crime Policy and the School of Behavioral Science at California State University, San Bernardino. He is on policing advisory boards at Cambridge University, George Mason University, John Jay College, and the Council for State Governments and works extensively in the field of evidence-based policing, innovative technologies, and prisoner reentry. Prior to coming to the Police Foundation, he was an executive fellow with the US Department of Justice's National Institute of Justice and a senior fellow at George Mason University. He is a graduate of California State University, San Bernardino, the University of Redlands, the FBI National Academy, and the California Command College. Thank you, Jim, for reviewing and endorsing our work.

We acknowledge the confidence extended to us by **Beverley Busson, COM, OBC, LLB, LLD (Hon), Commissioner (Ret'd), Royal Canadian Mounted Police**, who wrote one of the Forewords to this book. A leader in the policing community for years, she sought to improve the future of policing in a way few leaders have demonstrated. She has become known as a person with a heart of concern for other leaders in justice and public safety and for the extraordinary stresses and burdens they bear. Her faith in our work, as well as her support of the potential that lies ahead in future implementations of the ideas and skills in this book, contribute significantly to the vision that competent leadership is a transformational force that must be optimized to the fullest as we move into what appears to be an increasingly turbulent future.

There is a debt of gratitude and admiration for the courage of **Ward Clapham, MOM, Superintendent (Ret'd), Royal Canadian Mounted Police**, of Richmond Detachment and Vancouver Airport, and former **Chief Officer of the South Coast British Columbia Transportation Authority Transit Police**. With his leadership teams, Ward has field-tested and implemented nearly every aspect of this book, demonstrating **that it can be done if you get the right leaders on board, persist in implementing continuous improvement daily, and—through shared leadership—build transformation and intelligence-based policing into the 21st Century**. It was Ward who demonstrated courage to lead the way in executing all aspects of this book as no other leader has. He has been the cutting edge of implementing the concepts of this book.

While we acknowledge the legitimate requirement for operational policing services, the need for innovative leadership development and organizational improvement initiatives that have a crime reduction and preventive impact are also needed. While addressing operational realities, Ward and his team have indeed made significant progress, and continue to do so after his retirement, toward a comprehensive and integrative policing model that seeks to address operational requirements while making a strong impact in both crime reduction and calls for service (an ongoing 70% reduction in both!). Ward has also made a significant contribution to this book in the implementation section in Chapter 13. He shares his own style of implementing Credible Leadership in this chapter.

Barry Daniel, LLB, Chief of Police (Ret'd), Abbotsford, BC, is recognized for his belief in the value of Transforming Leadership (in the early conceptual years since 1992) and its implementation at Abbotsford Police in Abbotsford, BC, Canada. Chief Daniel led the way among chiefs of police in British Columbia in the promotion of leadership development in policing for British Columbia, Canada, and on the international scene. He forged ahead as a Transforming Leader who, before his retirement, in many ways became visibly transformed into a model leader for younger officers to emulate. Demonstrated that shared leadership and a collaborative approach can be successfully combined with a command and control approach (which, of course, is sometimes necessary in policing).

There is also appreciation for the continuing encouragement Dr. Anderson has received from **Jim Kouzes, PhD**. Jim, co-authored two of two of the most reputable and best-selling leadership

books in print: *The Leadership Challenge*, and, *Credibility*. Originally, he encouraged Dr. Anderson to write the First Edition of *Transforming Leadership*. He has endorsed both editions of *Transforming Leadership* and all subsequent editions of this book. His personal encouragement and modeling the way as a successful author and research groundbreaker has shown it is possible to be an exemplar in the lives of others just by caring enough to encourage their hearts. Thank you, Jim! This book would not exist had you not encouraged Dr. Anderson over the years.

John LeDoux, MEd, Special Agent (Ret'd), Leadership and Management Sciences Unit, FBI Academy, is appreciated for his early editing and commenting on the First Edition of *Transforming Leadership* in 1995, which encouraged the writing of the Second Edition. This, in turn, led to the First Edition of, *Every Officer Is A Leader*. As a contributing author, John's expertise, support, and feedback were encouraging in the development of the policing, justice, and public safety edition; his contribution continues to be integrated into this Third Edition.

We wish to thank **Darryl Plecas, EdD**, currently Speaker of the House and **Member of the Legislative Assembly (MLA) in British Columbia**, and former **Professor Emeritus and former Research Chair for the RCMP in the School of Criminology and Criminal Justice at the University of the Fraser Valley**, for his encouragement and faith in our work and especially for the research projects he conducted with Dr. Anderson that verified the relevance and importance of the competencies in this book with the Vancouver Police Department and the San Diego Police Department, and beyond. He also analyzed the data from other studies done various graduate students that continued to provide the insight that more 6000 police officers agree on the language that describes the 40 leadership tasks and responsibilities they believe are relevant and important for all police officers to perform, regardless of rank.

We appreciate **Sam Spiegel, Chief of Police (Ret'd), Folsom Police Department, California**, and previous **President of the California Peace Officers Association**, for his courage and determination to implement Transforming Leadership and the principles and practices in this book throughout this entire organization for over seven years. He has provided yet another important learning for the authors because he challenged us to make it more relevant to smaller police departments, make it easier to implement, and to create useful tools that are now a part of this book. Thank you, Sam, for your ongoing support and guidance!

Special thanks to **John Welter, BA, Chief of Police, City of Anaheim, California**, for his relationship with the authors while he was leading the Neighborhood Policing Division and Strategic Planning Division at the San Diego Police Department, which led to a research project and subsequent comprehensive leadership development plan for the organization. He has been called upon internationally to share his expertise and successful experiences in developing neighborhood policing and problem-oriented policing (POP) initiatives. We are fortunate to enjoy his participation in co-authoring the communication and problem-management chapters in this book. The insights John has gained from his experiences as Assistant Chief at San Diego

Police, and later as the Chief of Police in Anaheim, California, provide powerful examples of how neighborhood and community policing can be successful.

Special appreciation goes to **Peter Young, MBA, Chief Constable (Ret'd)**, of the **New Westminster Police Service** in New Westminster, BC, Canada, for offering the opportunity to apply and prove the value of Transforming Leadership to the development of the New Westminster Police Service. His willingness and ability to integrate the concepts of Transforming Leadership into personnel and promotional practices, supervisory and management practices, strategic planning and implementation, and leadership development is second to none. Peter, with his sincerity and persistence to “make it happen,” strengthened the belief that it was possible to make the concepts in this book come alive and manifest into reality.

We want to recognize **Supt. Michel Legault** who is the Officer in Charge of the Pacific Region Training Centre for the RCMP, who, with his team of volunteer senior police leaders have contributed significantly to the Canadian Credible Leadership Courses that are available to all justice and public safety personnel through the Canadian Police Knowledge Network. Michel and his team of police leaders from various agencies have made special videos in 14 of the Modules to make the program truly a Canadian Credible Leadership Series of professional leadership courses. Supt. Legault has illustrated the value of the principle of collaboration in making this significant contribution to professionalize leadership in justice and public safety in Canada: People implement what they help to build. Thank you and your team at PRTC for this important contribution!

We appreciate the work of **Wendy Taylor, Lead Instructor with the Justice Institute of British Columbia, Bachelor of Law Enforcement Program**. Wendy's contribution has been to participate in the further development and planning for the Canadian Credible Leadership Series of courses that are available through the Canadian Police Knowledge Network. Wendy taught a leadership course based on this book at the University of the Fraser Valley and her contribution to the planning for the design of the videos for the online course at the Canadian Police Knowledge Network is significant. Wendy's collegial contribution to this project has been especially valuable in that she has enriched the new Series with her ideas and connections. Thank you, Wendy, for your important contribution of helping to make this book and accompanying online course be made by the professionals in Canada for the professionals in Canada. It is truly a unique and important contribution!

Last but not least, we want to acknowledge the ongoing support of the Team (Chris Hoina, Wellington Scott and Sherry Bass) at the International Academy of Public Safety who have each made various contributions to the success of Credible Leadership and its outreach to the entire justice and public safety community.

The Authors

Terry D. Anderson, PhD

Dr. Anderson is currently the Chief Leadership Officer at the International Academy of Public Safety. In this role (as a partner with the founder, Dr. Mitch Javidi) he leads a cadre of senior level consultants and coaches (who are Certified by the Academy) who can certify officers in Credible Leadership. He provides executive level strategic consulting and coaching services for business and police executives. He has also served as a researcher and professor of leadership, problem solving, coaching and mentoring in Criminal Justice university programs for four decades.

Dr. Anderson's experience includes teaching more than 8000 adults for over 38 years in the areas of communication, problem-management, and organizational leadership full-time in the School of Criminology and Criminal Justice at the University of the Fraser Valley in Abbotsford, BC. He has also served as an adjunct professor at the California Command College, the Justice Institute of British Columbia, Simon Fraser University, Trinity Western University, Union Institute of Sacramento, the University of British Columbia, and in 2002–2003 taught Executive Coaching at the graduate level in the School of Business at Royal Roads University.

Dr. Anderson has conducted significant executive coaching and mentoring, organization development, strategic planning, team development, and/or executive leadership development projects for police agencies such as LAPD, the Jefferson Parish Sheriff's Department in New Orleans, Abbotsford Police, Folsom Police, New Westminster Police Service, Vancouver Police, San Diego Police, the Los Angeles Sheriff's Department, and the Royal Canadian Mounted Police. He has done similar work with corrections, the Canada Customs and Revenue Agency (CCRA), the Ministry of the Attorney General, and non-profit agencies. He has also consulted to small business and Fortune 500 firms such as General Telephone and Electric (GTE) and The TORO Company. Senior executives in business and government sectors have trusted him to be a coach, mentor, confidant, strategic planner, and implementation coach. **His new focus is on coaching leaders to develop strategic leadership and organization development (OD) competence that has an impact on community safety and public trust.**

Dr. Anderson has personally authored and published over a dozen assessments, training and development tools, and books (including *Transforming Leadership*, 1998), some of which have been translated into Japanese, Dutch, Swedish, Hungarian, French, Spanish, and Chinese, and are being used in 11 countries. His *Personal Style Indicator* and related publications have benefited over a million people. He is a professional speaker who has delivered practical, hard-hitting messages on leadership and organizational effectiveness at conferences to over 65,000 people, for organizations such as CACP, COMDEX, BC Foresters, UBC, RCMP, BC Probation Officers, The Canadian Association of Chiefs of Police, The California Police Chiefs Forum, the European Police Leadership Forum, and the Canadian Police College's Leadership Forum. His

most recent work is the update and publication of this Credible Leadership Third Edition of *Every Officer Is a Leader*.

Dr. Anderson's undergraduate work was at California State University in Psychology and English (BA, 1967), and his Master's level work was in Post-Secondary Education and Counseling (MA, 1973). His Professional Education Certification was completed at the University of Victoria, British Columbia, Canada (1971). His doctoral studies were with Robert Marx, PhD, at the University of Massachusetts School of Management and Allen Ivey, EdD, at the University of Massachusetts School of Counseling and Consulting, through Columbia Pacific University in San Rafael, California (1992). He received the designation of Certified Executive Coach (CEC) from the Worldwide Association of Business Coaches (2002) and is a current member in good standing. He is a former Advisory Board Member for COMDEX, 1997–1998, and former International Network Director (1993) and Member (1990–1995) of the American Society for Training and Development (ASTD). He was a long-standing member of the Western Society of Criminology and spoke at several of their conferences. He most recently spoke at the Police Society for Problem-Based Learning conference in Tucson.

Kenneth D. Gisborne, MA, CPP

Ken holds a Master of Arts Degree in Disaster and Emergency Management from Royal Roads University in Victoria, British Columbia. He is board-certified as a Certified Protection Professional through the American Society for Industrial Security International. Ken is a licensed Security Consultant and Private Investigator in the Province of British Columbia.

Ken is a Trusted Advisor and Senior Consultant to other security businesses and to private industry, institution and government clients. This service was performed through 3Si Risk Strategies Inc. from 2004 to 2015; 10 of those years as President. In April 2015, Ken stepped down as President of 3Si to focus his work energy on key clients and projects, both for his own company, KDG Security Management Consulting Inc. and for 3Si. He has been providing overall security program and technical security consulting to private industry for 23 years. Before that, Ken was a security consultant and Unit Commander within the Royal Canadian Mounted Police as a veteran Staff Sergeant of the Technical Security Directorate. Ken's final RCMP assignment was as head of the Security Systems Section for Saskatchewan and was responsible for; (1) Security consulting services to Federal Government departments, (2) Emergency, Contingency and Business Resumption Planning, (3) Counter-Terrorism Planning, (4) Explosives Disposal Unit, (5) Vital Point Security, (6) VIP Security, and (7) Computer Security for F Division, RCMP. In total, he has been providing security expertise for over 37 years.

Ken qualified in several jurisdictions as a forensic security expert from 1981 onward, and has been has provided forensic security expertise in Canada, the United States, and Hong Kong since that time. He has owned and operated private security consulting companies since his retirement in 1994, providing expert security management assistance to groups such as; Canadian Federal government, Province of British Columbia, municipal governments, national and international corporations, transportation companies and transit authorities, air and sea port authorities,

security service corporations, architectural and engineering companies, educational institutions, healthcare organizations, financial institutions, sports facilities, and media corporations.

In Crime Prevention through Environmental Design (CPTED) consultations, Ken provides assistance to architectural firms, developers, municipalities and the Royal Canadian Mounted Police to assist them in ensuring that their projects meet the crime prevention design standards called for in each unique project environment.

Ken is a sought-after speaker and instructor. He has presented seminars to various groups including the American Society for Industrial Security (ASIS) International Trade Show & Convention in Philadelphia on "*Business as Usual-A Corporate Approach to Counter-Terrorism Planning*", the BC Food Protection Association on "*Farm to Fork – Protecting the Food Chain*" and was a featured speaker at the "Police Leadership 2002" Conference in Toronto focusing on "*Public-Private Police and Security Partnerships*". Ken is a co-author of "*Every Officer Is A Leader: Transforming Leadership in Police, Justice, and Public Safety*" (2000, CRC Press) as well as the *Second (2006)* and *Revised Second (2012)* Editions of "*Every Officer is A Leader: Coaching Leadership, Learning, and Performance to Justice, Public Safety, and Security Organizations*" (Trafalgar Publishing).

Patrick N. Holliday, CD, MA

Patrick Holliday is an experienced leader with over 30 years of military and police service in operational and administrative supervisory and management positions. His affiliations have included charter membership in the Institute for Ethical Leadership and a directorship in the national Police Leadership Forum. He is currently the President and principal consultant of Prime HR Consulting Group Inc. Prime HR assists public and private organizations in the evaluation and development of their people assets so they may effectively respond to the business and "real world" challenges of today and tomorrow. Prime HR, with Patrick as the senior consultant, assists organizational leaders, at all levels, in the development of their leadership competencies through processes of evaluation, client-specific training, action-learning, and coaching. Clients include law enforcement agencies at municipal, provincial and federal levels as well as private corporations.

Patrick's policing career spanned 32 years in the City of Vancouver Police Department in Vancouver, Canada. He served in the Patrol Division, K-9 Unit, Provincial Police Training Academy, Traffic Section, Communications, Provincial Joint Forces Operations (JFO), and Major Crime Section. Patrick retired in 2001 from his position as 2i/c of the Department's Human Resources Section where personnel services were provided to over 1400 police and non-police members. Career awards include the Police Exemplary Service Medal, Chief Constable's Commendations, and the Commanding Officer's Commendation from the Royal Canadian Mounted Police. Patrick also served in the Canadian Forces Security Branch (Military Police) and released with the rank of Captain.

Patrick has a Management Certificate (Honors) in Human Resource Management. His undergraduate studies were at the British Columbia Institute of Technology (BCIT), Burnaby, British Columbia in management earning a Bachelor of Technology in Management degree (Honors). His Master's level studies were in Leadership and Training (MA) with the specialization in Justice and Public Safety Leadership at Royal Roads University, Victoria, British Columbia. His graduate thesis research focused on learning in the workplace.

Patrick is currently Associate Faculty in the School of Leadership Studies at Royal Roads University where he teaches in the MA in Leadership degree program. He is Part-Time Studies Faculty in the British Columbia Institute of Technology, School of Business, where his areas of expertise include Organizational Behavior and Management. He also teaches in the BCIT International Program. Patrick has served on the Advisory Committee for the Bachelor of Technology in Management degree program and on the Board of Directors for the British Columbia Crime Prevention Association. Patrick is a co-author of "*Every Officer Is A Leader: Transforming Leadership in Police, Justice, and Public Safety*" (2000, CRC Press) as well as the *Second* (2006) and *Revised Second* (2012) Editions of "*Every Officer is A Leader: Coaching Leadership, Learning, and Performance to Justice, Public Safety, and Security Organizations*" (Trafford Publishing).

Contributing Authors

Ward Clapham recently completed his 25th year of service with the Royal Canadian Mounted Police, and then was in the position of Chief at the Greater Vancouver Transit Authority Police. He was until 2008 the Officer in Charge at Richmond Detachment. This 215-member Detachment consists of 275 staff (including non-police personnel) and serves a population of approximately 175,000. Ward holds an Associate degree in Criminology and is currently completing his Bachelor of Arts. Ward's passion is in the area of Leadership. This interest began in 1991, soon after the philosophy was introduced to the RCMP. He has published several articles and workbooks in the areas of Community Policing and Root Problem-Solving. For the past nine years, Ward has been lecturing in the area of Leadership and Community Policing across North America, Europe, and Asia and is very actively implementing these philosophies at all levels. In 2008, Ward published a book, with a Foreword by Stephen Covey, titled, *The Nobility of Policing: Guardians of Democracy* (2008), published by the Franklin/Covey Company. In 2011, Ward added to his collection of published works, with a Foreword by Stephen Covey, titled, *Lead Big: Discovering the Upside of Unconventional Leadership*.

Ward received the following awards for his contribution to leadership and community policing: The Canadian Head of Public Service Award, The Order of Merit of Police Forces, The Most Venerable Order of the Hospital of St. John of Jerusalem, and the Queen's Golden Jubilee.

Bill Cooper is the founder and President of the Cooper Management Institute, LLC. He spent his 30-year career in law enforcement, retiring as Chief of Police before managing corporate security in two Fortune 200 corporations. Chief Cooper introduced contemporary business principles and concepts of organizational development and high-performance organizations into the police and Corporate Security. He is the first Chief in the nation to introduce and apply Lean Six Sigma and formalized continuous improvement for the police and security.

Bill holds Masters Degrees in Business Administration and Public Administration and is an Assistant Professor at Northwest University. He is a Lean Six Sigma Master Black Belt and certified trainer. Bill currently serves on the Board of Directors for Grow Washington, a business development organization, and is a member of the Leadership Council for the National Small Business Association.

The depth and breadth of Bill Cooper's background has been described as being in the top 5% of the most diverse and comprehensive qualifications relevant to management.

Bill founded the widely successful Cooper Management Model that consists of Lean Six Sigma; a Business Intelligence Decision Support System; a community/employee partnership system that reduces activity levels, all resulting in very significant time and cost savings. The model builds

credibility, improves performance, lowers cost, and serves as a financial and operational force multiplier.

Bill has authored or co-authored 10 books and has created management courses, emphasizing management skills and cost effectiveness. His models have been featured on national radio, in law enforcement strategic plans and annual reports, and in multiple post-graduate theses, and he has been a requested keynote speaker and lecturer. His consultations with many departments have resulted in notable awards, departmental turnarounds, and millions of dollars in savings, aligned with optimized service delivery and high quality.

Dr. Irwin M. Cohen is Director and a professor in the School of Criminology at the University of the Fraser Valley. Irwin's research interests include young offenders, juvenile justice, Aboriginal victimization and resource access, state torture, and terrorism. He has co-authored several manuscripts on state torture, terrorism, juvenile justice, young offenders, restorative justice, and mentally disordered offenders.

In addition, Irwin is the Director of the Institutes for Social Responsibility, Safe Schools and a member of the Institute of Mental Health, Law, and Policy at Simon Fraser University. Irwin holds a PhD from Simon Fraser University.

Dr. Raymond R. Corrado is a full professor in the School of Criminology and the Department of Psychology at Simon Fraser University. He also is a Visiting Fellow at Clare Hall College and the Institute of Criminology, University of Cambridge, and a founding member of the Mental Health, Law, and Policy Institute at Simon Fraser University. Dr. Corrado has co-authored four books.

Currently, Dr. Corrado is working on a number of research projects involving Aboriginal issues, such as The National Community Research Project; Homelessness and Shelter Use in the Greater Vancouver Regional District; Housing Discrimination and Aboriginal People in Winnipeg and Thompson, Manitoba; and Mental Health Outcomes for Aboriginal People Based on Residential School Experiences. He is also researching Aboriginal incarcerated serious-and-violent young offenders. He has also been working on a NATO-sponsored project with leading experts in many NATO countries on the development of a needs/risk assessment instrument for children, youth, and adolescents. He is a member of SFU's Institute of Mental Health, Law, and Policy, the SFU site director for the Centre of Addiction Research of British Columbia, and a co-director for the Institute for Social Responsibility. Ray holds a PhD from Northwestern University.

Edward Illi served as a Municipal Police Officer with the Saanich Police in British Columbia for 29 years. He served in many units, ranks and divisions throughout his career and has always held a strong belief in leadership in every officer regardless of rank.

Ed's passion for learning and teaching has been a lifelong pursuit and he was selected as a faculty instructor at the Justice Institute of British Columbia Police Academy teaching Investigative

Techniques, Patrol Tactics, Drill, and Professionalism for recruit officers, and several advanced courses for senior experienced officers. Ed went back to university and received his Master's degree in organizational leadership and training, and is currently a certified law enforcement coach and instructor. Ed's thesis has been published in Canada and internationally, and has been a contract instructor for Royal Roads University in Victoria, BC.

Ed went on to be the Chief Officer of the British Columbia Conservation Officer Service and was a successful leader in a provincial wide reorganization for the future. He is currently an Associate Faculty member of the Justice Institute of British Columbia, teaching undergraduate courses in the Law Enforcement Studies program, and other specialty courses for police and civilian clients.

Dr. John LeDoux served more than 28 years as a Special Agent of the Federal Bureau of Investigation, after serving four years as a commissioned officer in the United States Marine Corps. During his tenure at the FBI Academy, Dr. LeDoux, as a senior instructor in the Leadership and Management Science Unit, worked internationally as an instructor and consultant in the areas of leadership and organizational effectiveness and designed and administered the top executive leadership program for the FBI. He has taught as an adjunct faculty member of the University of Virginia, University of Tulsa, and John Hopkins University.

Dr. LeDoux holds a Bachelor of Arts degree from the University of Maryland in Psychology and Sociology, a Master's in Public Administration Criminal Justice, from Auburn University at Montgomery, and an EdD from Auburn University in Adult and Vocational Education. He also has 12 graduate hours in Business Administration taken at George Washington University.

Dr. Gene Stephens is a Professor Emeritus at the University of South Carolina. He has more than 25 years of experience as a consulting futurist, specializing in investigating the future of criminal justice in the world. He has presented his methods and findings to more than 300 organizations—some on a continuing contract.

Those who have sought Gene's services for consulting, instructing, coordinating, and/or speaking have ranged from the FBI Academy to the IACP, from the National Association of Police Planners to the US Congress Office of Technology Assessment. He is also an instructor on the faculties of three of the most prestigious criminal justice management and executive training programs: the California Command College, the Florida Criminal Justice Executive Institute, and the Bill Blackwood Law Enforcement Management Institute of Texas. In addition, he has worked with the National Safety Council, the Federal Bureau of Investigation, and the Ontario Ministry of the Solicitor General. His activities for clients have ranged from keynote to graduation speeches, interactive workshops, 20-minute to 8-hours-a-day (and multi-day) presentations, teaching futures methods and their applications to the clients' operations, designing programs to help executives and policymakers envision the future, and consulting with agencies in developing strategic plans.

Dr. Paul Tinsley (late): Until his premature passing in July of 2005, Dr. Tinsley worked as professor in the School of Criminology and Criminal Justice at the University of the Fraser Valley (UCFV) where he also served as Director of the Police Studies Program, the first degree program to be in partnership with the RCMP. Prior to joining UCFV full-time in 2003, he served as an adjunct professor for 14 years.

Dr. Tinsley served 25 years with the Abbotsford Police Department and retired as Deputy Chief. He served in nearly every role imaginable during his policing career, including some roles that reflect his exceptional ability as a leader. Paul's policing experience included extensive executive, management, and operational experience.

His research interests in policing were many, although his most significant interest was in police ethics. He served as the co-chair of the Ethics Sub-Committee for the Canadian Association of Chiefs of Police and as a member of the Ethics Committee for the British Columbia Association of Chiefs of Police. He was the recipient of numerous awards for his contributions to policing, including the Police Exemplary Service Medal and the Order of Merit of Police Forces.

John Welter has over 35 years' experience in policing. During his career with the San Diego and Anaheim Police Departments, he rose through the ranks, serving in various assignments including the Motorcycle Squad, SWAT, Robbery, Child Abuse, and the Homicide Investigations Unit. Chief Welter was appointed Chief of the Anaheim Police Department in March 2004.

Chief Welter holds an Associate and a Bachelor's degree in Criminal Justice. He is a graduate of the FBI's National Academy in Quantico, Virginia. In 1997, the FBI sent Chief Welter to Moscow and St. Petersburg, Russia, to conduct Police Management and Leadership training for Russian Police command personnel. In the past several years, he worked as a consultant and trainer with police officials in a number of European and South American Countries including Hungary, Ukraine, Sweden, Northern Ireland, United Kingdom, Colombia, Canada, and Mexico. Chief Welter also consults and trains police officials throughout the United States. He is a California-credentialed college instructor.

Angela Workman-Stark is a recently retired Chief Superintendent from the Royal Canadian Mounted Police. With more than 24 years in policing, her experience has consisted of roles in general patrol, criminal intelligence, money laundering/proceeds of crime investigations, undercover operations, human resources, terrorism prevention, and organization development.

For much of the past decade she has held significant leadership roles in implementing organization-wide transformation related to leadership and culture. Prior to her retirement, Angela was responsible for overseeing the implementation of an organization-wide action plan in furtherance of the RCMP goal to effect significant cultural change relative to diversity and inclusion.

Angela is currently an Associate Professor of Organizational Behavior in the Faculty of Business at Athabasca University in western Canada, where she teaches, researches and writes on the topics of organizational change, leadership and creating inclusive workplaces. She also works extensively with Police Services in Canada and internationally on these same themes.

Angela has delivered numerous national and international conference presentations, keynotes, and workshops, and she is the author of the recently published book, ***Inclusive Policing from the Inside Out.***

Part I

Introduction

1

Transforming Leadership Builds the Leadership and Learning Organization

My premise is that leadership is not exceptional (some are born with it), but the natural expression of the fully functional personality. As Warren Bennis put it, “The process of becoming a leader is much the same as becoming an integrated human being.”

John Thompson,
Corporate Leadership in the 21st Century

Institutionalizing a leadership-centered culture is the highest act of leadership.

John Kotter

enable leaders, teams, and organizations to make a serious and positive impact on the communities around them, as illustrated in the following figure.



Transforming Leadership and the Promise of the Leadership and Learning Organization

Transforming Leaders build leadership and learning organizations. They have inwardly decided to grow into being more conscious, developed, skilled, sensitive, and creative participants and exemplars. They strive to make positive differences in organizations and in the lives of others, wherever they go. They reach beyond the ordinary, the predictable, the average—charting new territories and possibilities. The reach up for leadership from those who are wiser; they pull those “below” them upward, to greater, unseen heights.

This is not easy to accomplish, especially in a rapidly changing world where it seems that many cynical people belittle such lofty ideals. With vision and leadership, however, people can live increasingly fulfilling lives and do increasingly effective and meaningful work. This is an important foundation to

Executives and managers must prepare to help the other leaders in their organizations address many significant themes that are on the horizon.

- Self-management
- Self-managed high-performance teams
- Cross-functional team development, beyond hierarchy
- Diversity
- Globalization
- Quality
- Conformance to requirements
- Rapid response
- International standards
- Focused marketing
- The learning organization
- Continuous improvement
- Customer focus
- Innovation
- Fashion
- Entertainment
- Multimedia
- Family
- Credibility
- Trust
- Competence
- Caring
- Ethics
- Spirit
- Transformation

All these themes are important and represent an overwhelming blizzard of change demands on the average decision-maker and demand that leaders can help their people manage if these leaders have the skills and the know-how.

*The growth and development
of people is the highest calling
of leadership.*

Harvey S. Firestone

It is also especially important to cultivate a positive work climate because people who work in justice and public safety are often working face-to-face with the 5 percent of the disadvantaged or criminal elements of the population the other 95 percent would prefer not to encounter. Such stressful work demands a positive workplace . . . and leaders are responsible for creating a positive climate. The literature on workplace wellness and stress supports the notion that healthy workplaces are created by leaders who care.

Dr. Anthony Ocana, a proclaimed occupational medicine consultant asserts,

Let's face it; excellence in leadership, management, sales, and service is principally the embodiment of good mental and physical health. Untreated mood disorders are responsible for much of the poor performance and physical disability that occur in the workplace. Understanding the human factors that drive innovation, productivity, and resilience is no longer the soft stuff—it's the right stuff. Does your organization have a culture that engages, develops, and retains the best minds; a humane way of managing under-performance and disability? The organization with the best mental health wins. (Healthsmith Wellness Group brochure, 2003).

Transforming Leaders Authentically Care about Others and Bring It Forward with Skills

This is a book about internalizing knowledge and developing the hidden skills that, when orchestrated together, result in Transforming Leadership. Skills bring forward caring. People can feel they care a lot but not be able to deliver the caring so that others experience it.

Now, more than at any other time, leaders in organizations need caring, competent, and trusted consultants—either internal or external—as associates who can work alongside them and help them develop the skills to do the following.

1. Provide ways to gain a visionary (vivid-vision) view of an agreed, encouraging, and preferred future
2. Offer a skilled mind in planning, managing, and leading in unpredictable change environments
3. Be an encouraging spirit who brings hope and substance when discouraging events occur, as Mayor Giuliani did in New York
4. Provide coaching for their personal executive development and executive team development
5. Develop the skills of caring, so that they can, in the long term, become their own change agents with the skill to act with competence. In turn, they will be better able to pass this torch of knowledge and wisdom along to others.

To become this kind of trusted colleague or associate—whether helping leaders manage a significant change, a re-engineering initiative, a quality programs intervention, or an organizational accreditation process—a person must possess the same prerequisite sets of knowledge, qualities, and skills. Although most successful leaders may have the necessary qualities, they all too often have not yet developed the full battery of technical skills and people skills required to lead and empower other leaders to transform their organizations into winners in the globally complex new millennium.

Qualities that People Want from Leaders

Time is neutral and does not change things. With courage and initiative, leaders change things.

Jesse Jackson

If there is to be some kind of cooperation and preparation for leaders in justice and public safety, what overarching qualities, skills, and capabilities should these leaders have? As an overarching view, all leadership is some form of change management; the effective management of change requires the building of sound relationships with both internal and external stakeholders.

Such relationships have the following five qualities that people—especially those who are Generation-X or Y or new to the field—demand.

1. **Understanding** personal and organizational needs, problems, goals, and dreams helps people feel comfortable and optimistic about the relationship.
2. **Caring** that gets results inspires people to want to engage that individual as a trusted leader to help manage necessary change.
3. **Respecting** people as valuable, unique, imperfect, and developing souls gains their respect.
4. **Genuineness** is the bottom-line requirement. If a person is perceived to be personally phony or incapable of delivering their claims, they lose credibility.
5. **Specificity** in written and spoken communication, which leaves no doubt in anyone's mind about the intended meaning of words or contract issues, is critical to earning trust and gaining interpersonal and organizational credibility.

All decisions to change, to buy, to repurchase—or even to love—hinge ultimately on the clear content of conversations and the quality of commitments in relationships.

We may be truly sincere, genuine in our intent to build a leadership organization and the people in it, and have the required qualities inside to gain credibility, but that does not mean we have developed the technical knowledge or specific skills to take our sincerity and compassion forward to meet people's real needs. So, what can we learn quickly to make this happen?

The Big Five Critical Skill Sets for Transforming Leadership Success

There are five skill sets (competency clusters) of Transforming Leadership. They are all required for successful intervention as a person or as a professional leader.

1. Personal mastery
2. Interpersonal communication
3. Problem-management and counseling/coaching/mentoring
4. Consultative skills (team and organization development)
5. Style-shifting, role-shifting, and skill-shifting to develop versatility and resilience

Leadership is solving problems. The day soldiers stop bringing you their problems is the day you have stopped leading them. They have either lost confidence that you can help or concluded you do not care. Either case is a failure of leadership.

Colin Powell

Because they are central to gaining credibility with others, these skills are more important than the staffing, tactical, investigative, policy, analytical, or technical skills a person already possesses. These skills are also required by mid-managers, supervisors, or staff members to help them manage change, build teams, develop a positive culture, and protect themselves from burnout.

All of the five skill sets have 12 observable skills. Therefore, research and practice have identified a total of 60 observable, transferable, and generically applicable skills that can be applied in any organizational setting in the justice and public safety sectors.

Dr. Anderson's experience in training and coaching leaders reveals that less than 10 percent of managers have all five skill sets required to effectively lead individuals, teams, and organizations. The lack of any one of the Big Five skill sets causes a breakdown in effectiveness when acting as an individual, family leader, consultant, coach, supervisor, manager or executive.

Also, less than 10 percent of managers or consultants have developed the Transforming Leadership skills to the point where they report that they can coach and/or teach others these critically important skills. Because these skills form the foundation of building a leadership organization, they are a prerequisite to its development.

What Is the Leadership Organization and Why is it Important to Build One?

Definition: *The leadership organization creates and sustains a leadership-centered culture where leaders are equipped to develop leaders at all levels of the organization—from the top down and from the inside out.*

Terry D. Anderson, PhD

To the extent that building a Leadership Organization is effective, it will result in the development of all people in the organization who, in turn, will have developmental impact on their families and communities. This developmental impact occurs because learning occurs. Learning occurs because leaders are competent, caring, creative, and honest.

In policing, for example, effectively functioning leaders successfully initiate community and neighborhood policing initiatives, engage in problem-oriented and bias-free policing that uproots causes of crime, and build a policing organization that is successful in being *proactively* responsive to community needs and problems. Policing has Field Training Officers for the coaching of front line officers. More recently, a newer and more effective program is called Police Training Officers (PTO) Program. It has a number of overlaps with Credible Leadership and we are exploring ways that our work can cross-pollinate our efforts because both of our organizations have a similar vision of equipping leaders to transform organizations and communities into better places to work and safer places to live. To learn more about PTO, go to the Police Society for Problem-Based Learning:
<http://www.pspbl.org/pbl/pto/>.

How many departments have Leadership Training Officers (LTO's) who mentor those gearing up for a promotion to the supervisory or managerial level? In most departments, there is no such

program. This book provides a model and process for building these skills that are required leadership in every officer, not only in policing, but also in other areas of the justice, public safety, and security professions; and with Professional Staff as well as Sworn Officers. These skills are necessary to build the leadership organization.

The **leadership organization** is based on a commitment by visionary leaders to develop people (and organizations) by providing opportunities for on-the-job experiential learning that leads to personal, intellectual, interpersonal, physical, career, financial, and emotional health growth and well-being. Holliday (2003) describes this as the use of the technique of reflection on “real-world past experiences” to build new knowledge. The obvious rationale for facilitating this development is that realizing the potential of people is a worthy endeavor and, from a professional point of view, results in higher individual, team, and organizational performance and morale.

The leadership organization has, at its helm, leaders who are what we call **developmental change agents**—transformation specialists who act as role models in the move to lead more fulfilled, service-oriented lives that make a positive difference in the lives of people who will, in turn, impact the success of their organizations and communities. This is the way for organizations to regain the loyalty of so many of those who have grown distrustful and disloyal through layoffs, restructuring, re-engineering, and other change initiatives. In policing this is especially important to enhance community trust so that the career of being a police officer becomes more respectable, less dangerous, and therefore more attractive as a career. Policing agencies everywhere are having a more difficult time than ever filling positions with qualified applicants! We can clearly see that applicants who take this course (and the first three Credible Leadership courses in the series) and pass it will be more inspired and equipped to go through recruit training. They will also more likely be hired if they are already certified leaders who understand what they are getting into in justice and public safety careers.

Therefore, in a leadership organization, those in senior positions are ideally the first to make the commitment to long-term development. With consultative assistance, they assess, plan, develop, and evaluate their own personal and executive team capabilities. They learn how to become better leaders and how to develop other leaders directly through their own mentoring of protégés and/or through the development of organization-wide programs that integrate learning leadership with the management functions of the work itself.

After the development of the executive team, a leadership organization goes through identifiable steps to create such a large-scale and long-lasting organizational transformation.

1. Shift the mental models from mainly managing the organizational *status quo* to leading performance teams toward the realization of a preferred strategic future, while at the same time addressing emerging future trends.
2. Develop and communicate an inspiring vision of an ideal future that will motivate individuals and teams. People support what they help create. Involve others in creating this vision.

3. Assess the needs, wants, fears, and problems of the organization, including those of the internal employees and the external community.
4. Using a systems approach to change management, set realistic, achievable transition goals that, when accomplished, will realize the vision.
5. Strategically plan and implement step-by-step changes and remove obstacles to realizing the new vision and goals.
6. Prepare, train, coach, and/or mentor the key leaders—those who are willing, ready, and able—to develop self-leadership capabilities in all members of the organization.
7. Research and/or track the outcomes of change initiatives and report progress at regular strategically timed intervals throughout the process, so that movement toward the vision can be celebrated and unexpected obstacles can be removed or managed.
8. Engage intentionally in continuous developmental learning that results in ongoing individual, team, organization, and community development.

These steps are vital to the long-term health of any organization. Without developed leaders—with a strong team at the helm—an organization will have no vision, no spirit—or at its worst will be a house divided against itself. It will not as easily endure the storms of change that we are now faced with on a continual basis.

How is a Leadership Organization Different from a Traditional Organization?

A leadership organization prepares leaders first. Eventually everyone in the organization learns to work *on* the organization to improve it, as well as to work in it. People begin to see their individual contributions in the context of the organization and even the community as a whole if they are given feedback about their work unit.

They are enlightened if they can see how the internal and external customers are influenced by their work. They are brought in line with reality when they understand how their decisions and actions are contributing to or detracting from the financial success or service quality of the organization.

The leadership organization is not ordinary. Even though becoming a leadership organization is not a quick and simple organizational transition, it is necessary for moving forward into the preferred future that such a transition could create.

The following is a comparison of traditional organizational characteristics and the key attributes of the leadership organization.

The Traditional Organization	The Leadership Organization
Controls organizational design	Is co-designed by those who work in it
Assumes it knows what is best	Assumes that what is best is always changing
Delays change as long as possible	Responds to change immediately
Clings to old paradigms	Anticipates change in advance whenever possible
Applies a linear approach	Uses a systems approach
Uses vertical command hierarchies	Develops collegial team relationships
See work as boring repetition	Sees work as meaningful self-expression
Sees people as cogs in wheels	Sees people as collaborators, teammates
Focuses on past and present	Focuses on moving toward ideal future
Is sufficiency-oriented	Is continuous improvement-orientated
Is bureaucracy-oriented	Is people- and idea-oriented
Manages by objectives	Applies strategic, accountable, intuitive leadership
Respects traditional gender roles	Competency is recognized/rewarded
Has multiple levels in organizational structure	Cross-functions through information access and role clarity
Manages by position power	Leads by credibility
Problems get attacked	Problems are processed or prevented
Conforms to rules	Uses creative problem-solving for continuous improvement
Does decision-making out of consultation	Uses inter-team brainstorming and decision-making
Is accountability to the boss	Is accountable to the team
Has a self-interest orientation	Respects quality and customer service orientation
Results are top priority at all costs	Intelligent, creative people produce more results and build people at the same time
The rich get richer, the poor get poorer	Wealth and rewards are distributed by contribution

Build the Leadership Organization First, Then Build a Learning Organization

The leadership organization provides a foundation of skills for the leader of the learning organization. The leadership organization development process and Transforming Leadership skills provide the process and content to lay the foundation of the learning organization. For example, the five disciplines outlined by Senge—systems thinking, personal mastery, mental models, building shared vision, and team learning—assume that leaders and learners either possess or can quickly develop the requisite competencies to apply these five disciplines.

Observation during live assessment and training sessions indicates otherwise. Fewer than 1 in 3 trainees who claimed to be good communicators actually demonstrated effective communication skills in a live video interview where their competency levels were assessed with a high degree of accuracy and inter-rater reliability. Even fewer of those assessed demonstrated the more complicated problem-management, counseling, coaching, and consultative skills.

In the past a leader was a boss. Today's leaders must be partners with their people; they no longer can lead solely based on positional power.

Ken Blanchard

Therefore, it is difficult for managers who are unskilled in the foundations of people-leadership skills to lead the transformation toward becoming a learning organization. This contention is supported by the latest research in Emotional Intelligence (Goleman, Boyatis, and McKee, 2002).

Moreover, it is possible to put into place the basics of a learning organization by installing systems and still not develop the leaders to the point where they can develop the people who will execute those systems willingly and competently. The point was made clear in a recent conversation with a health care executive that the total quality management (TQM) process initiated was being undermined by over 75 percent of the mid-managers in the organization. They could not lead teams and could not gain the cooperation of workers to implement the TQM requirements. Morale sagged as never before.

Numerous law enforcement students at the FBI academy have indicated that their agencies have tried to use TQM or attempted to follow the work of Senge but either have abandoned the efforts or have just pretended the efforts are working. This post-decisional justification serves only to diminish the credibility of the organization's leaders.

Senge states that the five disciplines of the learning organization “might just as well be called the leadership disciplines as the learning disciplines.” He goes on to state:

These disciplines span the range of conceptual, interpersonal, and creative capacities vital to leadership. But most of all, they underscore the deeply personal nature of leadership. It is impossible to reduce natural leadership to a set of skills or competencies. Ultimately, people follow people who believe in something and have the abilities to achieve results in the service of those beliefs.

Peter Senge
The Fifth Discipline

There is a rising tension for leaders to get themselves ready to build learning organizations and high-performance teams because learning organizations promise to deliver increased quality, efficiency, productivity, morale, and profitability as they learn to learn. So do TQM organizations or ISO 9000-certified organizations. Few, if any, specific training programs, however, help people get ready to lead or participate in such advanced high-performance organizations. While there are many signs that the future success of organizations lies in their capacity for organization-wide learning, even Senge reservedly states:

I have yet to experience any organization that comes close to exhibiting the capacities we think of when we think of learning organizations—the ability of everyone to continually challenge prevailing thinking, the ability to think systematically (the ability to see the big picture and to balance the short- and long-term consequences of decisions), and the ability to build shared visions that truly capture people's highest aspirations.

One reason that such organizational capabilities are rare is that they require individual attitudes and skills that are rare. A recent story illustrates the challenges. The “champion” of an ongoing project found herself increasingly challenged by the difficulties of operating in a truly open, non-controlling manner. She finally confessed, “It is like I have to live in two worlds—the old world of control and domination and the new world of learning. I know that the new world is what is needed, but I am so capable in the old world.” Her boss, the CEO, has been a forceful advocate of the new project. But his forceful support continually sends a mixed message: We need to learn “because I say so.” As the top management team has begun to actually practice dialogue (one of the core learning disciplines in our work), the CEO has described his experience as “like an ‘out of body experience’”—seeing how opposite are my effects on the people around me from my intentions. It is like I have to live in two worlds—the old world of control and domination and the new world of learning. I know that the new world is what is needed, but I am so capable in the old world.

The above quote is so true of the realities of managers. It is very difficult to make the shift from command and control to learning.

Without an unprecedented commitment to carefully select and develop leaders, organizations will have difficulty liberating the innovation, quality, and learning required to successfully weather the storms of the coming years and decades. Future trends in criminal justice and public safety indicate we must get ready to become capable of managing change as never before.

*Leadership development
is self-development.*

Jim Kouzes and
Barry Posner

Transforming Leadership can play a critical role in preparing leaders to lead learning organizations because self-leadership is the foundation of individual success; interpersonal development is a prerequisite to team membership and leadership; team leadership is the building block of organization development; and organization development is a critical catalyst for developing healthy communities. This series of relationships is graphically displayed below.

The Developmental Building Blocks of Transforming Leadership



The issue of leadership skills competencies must be taken seriously or organizations will only go through the motions of developing themselves in mechanical ways. Even the learning organization as described by Senge is often interpreted by less experienced managers as a quick way to install feedback systems so they can pump out productivity, often without regard for the development of the people who will execute those systems. Also at stake is the issue of leadership credibility.

People Don't Change with Leaders They Don't Trust

In all organizations, the catalyst for high-performing teams, productivity, and quality enhancement is people. Change agents must understand how to assist leaders to plan for and implement change. If those leaders do not have the skills to be effective with their people, the change effort will likely be perceived as undesirable and therefore undermined to some extent—and momentum for positive change can be lost.

*The First Law of Leadership:
If we don't believe in the messenger, we won't believe the message.*
Jim Kouzes and Barry Posner

Leadership is the primary factor that distinguishes organizational effectiveness from ineffectiveness over the long term. Most organizations perform poorly in the selection of competent leaders because they lack a clear description of the skills good leaders should have. Some organizations have discovered that through good fortune rather than good practice; they have had good leaders.

The successful people and organizations of the future will have taken personal, leadership, and management development seriously.

But luck is no longer good enough for even organizational survival. Stories are told of communities where decisions are suddenly made to reduce law enforcement agencies or replace emergency medical services with private providers. In some cases, these changes have resulted in reduced effectiveness.

In our complex and demanding time in history, everyone must become a leader of at least himself or herself to even live effectively. This inner strength forms the foundation of effective leadership of others. Therefore, the successful people and organizations of the future will have taken personal, leadership, and management development seriously. Self-leadership will become a common word; effective leaders will become culture-change leaders. They will engage in what

Kotter calls “the highest act of leadership”—“to institutionalize a leadership-centered culture.” This quote expresses the most profound of insights about leadership development and its relationship to organization development.

We support the research that suggests it is impossible to reduce observed and effective leadership to a definitive set of skills, traits, or competencies. True transformative leadership includes many other factors such as character, spirit, vision, wisdom, and skills.

We have also observed repeatedly that many well-intentioned, sincere, committed, honest, inspiring, and even wise leaders often lack self-management, interpersonal communication, and coaching, counseling, and consultative skills. These critical skills deficits can seriously interfere with the leader’s ability to carry out systems thinking, achieve personal mastery, use mental models, build a shared vision, and facilitate team learning.

How many managers have you personally observed who were competent in doing the technical aspects of the job—often the main reason they were promoted—but who lacked the basic skills to be innovative in designing systems and building relationships, teams, and organizations with credibility? In truth, you have likely seen some of them even be destructive.

The worst turn of events observed by the authors is that people are promoted to supervisory or management positions because of task or technical competencies and the assumption that they are competent for the systems design, interpersonal, problem-management, and team development aspects of their new leadership roles. If they assume they are already competent as managers, what do they do? Stop learning? Manage more? Lead less?

Think of people you know who are like this. What problems have they caused you or others? What names or words do you and other people use to describe their incompetence? Yet, it usually isn’t their fault. They have not been trained to the required level of competency in these critical skills.

The only real training for leadership is leadership.

Anthony Jay

In one author’s personal interviews with many managers enrolled in the Transforming Leadership courses at the two universities where he taught them, he observed that managers are often full of theories about effective leadership and that they lack many of the practical skills, the know-how, and the capability to implement them. Without a strong grounding in the skills of leadership, the practices of the learning organization will not get off the ground. Efforts will be undermined because people tend not to cooperate or change with leaders they do not like or trust.

If Managers are Not Skilled Leaders, It’s Probably Not Their Fault

Providing people with opportunities to assess and learn the foundational skills of self-management, communication, counseling, consulting, and versatility will prepare and equip them to be exemplary leaders in their new learning organizations.

Informed decision-making comes from a long tradition of guessing and then blaming others for inadequate results.

Scott Adams

Why are leadership capabilities, as Senge says, so rare among managers? Most managers have not developed the competencies they must have to lead effectively—and it is usually not their fault. They have not been able to find education or training programs that truly equip them with the competencies they need to lead teams toward higher performance and morale. Most of the universities and training programs they have attended have not coached them to competency in the critical leadership skills they must have to be effective.

The reason for this is that the education they have received has rarely been competency-based, comprehensive, or applied in their lives or workplaces—where it counts the most. Learning often gets lost when it is confined to classrooms or to isolated, off-site training sessions.

Following is a five-level rating scale that is useful to assess your level of skill development while reading each chapter in this book.

Level 1	Not familiar with the skill
Level 2	Familiar with the skill, but cannot perform it very well at all
Level 3	Can perform the skill on his or her own with conscious effort
Level 4	Can perform the skill naturally in a wide range of situations
Level 5	Can help others learn the skill

For example, in the law enforcement community, there is a prevalent and unwritten presumption that training is something that is done when you are not doing real work. When you leave training, it is time to return to the real world. When you add to this assumption a general lack of organizational support for the development and promotion of true leaders, the current lack of demonstrated leadership skills is not surprising.

Even most MBA programs in the past few years have begun to realize how important it is to provide a competency-based curriculum. Smart employers are demanding that MBAs present a wide range of demonstrable competencies before they hire them. Capella University's graduate programs, for example, are all competency based. More and more companies now have formalized mentoring or coaching programs to ensure that those who move into management positions are realistically prepared to meet the challenge successfully.

Many organizations “throw their new managers into the deep end, see who can swim best, and promote the strong swimmers further.” Others orient them to their new jobs by pairing them up with politically correct but relatively incompetent senior managers who model top-down management and pass along the “psychopathology of the average.” But most of all, the job role and skills of leadership (compared to the traditional manager) have been poorly and vaguely defined; therefore, it has been most difficult to formulate a relevant curriculum for leadership development.

Another factor influencing leadership development is that some managers may not be comfortable with competent leaders in their organization for fear that their own lack of leadership skills will become evident to others. The incompetent leaders want to do anything possible to kill a competency-based program, and they are especially threatened by a competency-based promotional process.

Also, some managers are uncomfortable with building a learning organization because of the requirements for transparency and accountability. Organizations that are hierarchical in nature are often managed by those who prefer the political accountability afforded by that traditional hierarchy. For example, a study of situational leadership in the law enforcement community, conducted by one of the contributors to this book, contained data indicating that virtually no executives are comfortable with Level 4 behavior (see the 5 Levels on the previous page for clarification).

At this level, the leader allows the follower to take the lead. The subjects are far more comfortable using a level where the boss keeps control. Many law enforcement and paramilitary executives do not seem to believe they can be perceived as successful if they let go of the traditional controls. This exclusive reliance on formal sources of legitimate, reward, and coercive power by managers has made employees increasingly wary, in times of challenge, to traditional management approaches.

Multiple Leadership Intelligences

Daniel Goleman, in his book, *Primal Leadership: Realizing the Power of Emotional Intelligence*, asserts the following:

The fundamental task of leaders, we argue, is to prime good feeling in those they lead. That occurs when a leader increases resonance—a reservoir of positivity that frees the best in people. At its root, then, the primal job of leadership is emotional.

We believe this primal dimension of leadership, though often invisible or ignored entirely, determines whether everything else a leader does will work as well as it could. And this is why emotional intelligence—being intelligent about emotions—matters for leadership success: Primal leadership demands we bring emotional intelligence to bear.

We have few intuitive doubts about the tangible reality of what Goleman is asserting here and we suspect he is getting to the heart and soul of leadership. But unlike the research conducted by Jim Kouzes and Barry Posner in their book, *The Leadership Challenge*, the jury is out . . . waiting for solid research to validate the assertions of Emotional Intelligence. To read a critical review of Emotional Intelligence, you can read the book *Emotional Intelligence: Science & Myth*, by Gerald Matthews, Moshe Zeidner, and Richard Roberts.

To their credit, Goleman and his colleagues are taking up the challenge of validating their concepts and findings and allowing all of us to access their most recent research articles at <http://www.eiconsortium.org>.

Transforming Leadership, the model on which this book is based, presumes that both the intellectual and emotional sides of leadership are equally important and that both have tremendous impact on leadership effectiveness, credibility, and outcomes. Therefore, in this model, with which you will become familiar in the next chapter, you will see that many of the competencies upon which it is built orchestrate a balance of multiple “intelligences”: cerebral (raised consciousness), creative, emotional, interpersonal, team, organizational and even community intelligence. These intelligences can be developed by reading, understanding and practicing the competencies that are outlined in the following chapters. However, we will first examine what leadership illiteracy looks like.

Defining Leadership Illiteracy

Many managers are so leadership-illiterate that it is difficult for them to function in the new high-performance learning organization. Many of them know this intuitively but cannot put their finger on exactly what skills they lack so they can get on track with a specific training and development program, or at least engage in coaching with someone who has developed the skills that they need. The following examples of illiteracy are provided to compare with yourself, others, or organizations with which you are familiar.

Example of Personal Illiteracy

In many countries, law enforcement supervisors or managers never serve time as an officer or a deputy. After training, they begin immediately to function as a supervisor. In the following story, a European law enforcement executive looks back on a time of personal illiteracy.

Most of what we call management consists of making it difficult for people to get their work done.

Peter F. Drucker

Before I started my career in the police force, my knowledge about leadership was limited; I believed that only people with natural skills could lead other individuals to perform a task successfully. It seemed as if all the great historical leaders throughout the world were born that way, simply waiting until the right time and place to display their natural abilities. Leadership was a skill some people inherited that made them persons to be followed, imitated, and trusted. In fact, I was hoping these talents were in me awaiting the magical *stimulus* to appear from the recesses of my brain. Once they appeared I would be transformed into the leader I presumed was hidden inside me.

The police academy training quickly destroyed my personal theory of leadership. The instructors, far from believing leadership was inherited, stressed that all persons had some natural degree of leadership but, more important, the ability to lead could be gained through diligent study and mastery of skills through practice and feedback from mentors or coaches in real work settings. Leadership

issues such as communication, knowledge of self, and motivation were stressed. These tools allowed me to continue to learn about leadership when I assumed my actual duties.

I quickly learned that I still had much to learn about leadership. Leadership is about growing, not being. I learned the importance of the ability of the supervisor in ensuring the safety of his officers. I learned how the attitude of the supervisor is transmitted to his troops. And, most helpful to me, I learned how much I could learn from my superiors. They provided the support, experience, and motivation to help me to grow. They helped me understand what I consider to be one of the most pertinent parts of leadership—accepting responsibility. I haven't finished growing yet, but I know I'll keep trying and keep helping others to grow.

Leadership in policing is, unfortunately, often learned by observing negative role models. For example, one law enforcement executive recounts an important leadership lesson he learned the hard way.

On my first day in the precinct, I arrived early, as all new officers should. As I walked by the lieutenant's office, I introduced myself, since this was my first day. The lieutenant looked up from his crossword puzzle, looked at me, and without a word returned to working his puzzle. He ignored me like I was some kind of lowlife trash, unworthy of his spoken word or any kind of acknowledgment.

From that day on, I made sure that no matter what rank I achieved, I was never going to be so important or high ranking that I couldn't speak to anyone that wanted to talk to me. Everyone deserves that much respect. I have watched this man over many years and he has never changed. No one wants to work for him, including the civilian secretaries. His major career accomplishment has been to lead the department in grievances filed against a supervisor. If I could write down everything that man has done as a supervisor, it would make an outstanding source of information for what not to do to be an effective leader.

Contrast that with the first day of another young officer who has since risen in the ranks.

If human beings are perceived as potentials rather than problems, as possessing strengths instead of weaknesses, as unlimited rather than dull and unresponsive, then they thrive and grow to their capabilities.

Barbara Bush

On my first day in the car with him, it appeared that every pedestrian and most motorists waved to the Chief as we passed. I knew he was quite popular, but to this extent? He said he didn't know most of those who waved, but he often initiated a similar greeting. "It may be the only time that a cop has ever extended a friendly greeting to them. I want them to know that we're on their side," he said. During the 16 years I worked for the Chief, neither I nor any other officer ever recalled him raising his voice in anger to a member of the police department or the public. If an officer committed a *faux pas*, the trip to the Chief's office usually began with an offer to work with the officer so that the infraction would not be repeated. The officers appreciated his understanding that humans make mistakes and that shouting accomplished little.

Example of Problem Management and Coaching Illiteracy

The managers of a criminal justice organization were facing many staff problems and problems with “clients.” Problems often were not faced directly because if individuals had a serious problem or said they had trouble dealing with a problem it could affect their career success regarding future promotions.

Many people pretended that problems did not exist so they would not have to be responsible for failing to deal with them effectively. CYA (cover your ass) became the unspoken motto of this organization. To avoid stress, danger, political heat, or their own incapability, some supervisory staff ignored calls for assistance or delegated the more difficult situations to less experienced staff. Open truth-telling was not the norm in this organization.

One problem, because it was not faced and dealt with immediately and directly, escalated into mass destruction of property that amounted to millions of dollars. People were hurt physically and emotionally. Five staff members came close to being murdered. After an investigation, only a few people were assigned the blame, even though most people in the organization were indirectly responsible for participating in the creation of a dysfunctional culture that led to a riot.

Some of the senior managers were autocratic and attempted to solve problems by applying arbitrary policies and rules using a coercive power base. They lacked the problem-management and counseling skills to confront people head-on and engage in problem-solving without delay. They paid the price that many leaders in organizations pay. They demonstrated the common dysfunction of many organizations: denial and avoidance of personal responsibility.

At some level, they knew they did not have the skills to do the job and that they had gone beyond their level of competence.

But they did so because they were afraid of failure. At some level, they knew they did not have the skills to do the job and that they had gone beyond their level of competence.

Although they held a degree of culpability, the blame did not lay entirely at their feet. They had not been equipped with the more complex and difficult skills of problem-management and counseling.

They realized that their lack of training and skills was a serious problem. As a result, one of the authors of this book helped them design a training program that focused on developing the competencies necessary for managing and solving problems and counseling others to take ownership of their own problem-management processes. This course is still being taught nationally in modified form; the skills are now listed on the job descriptions as requirements of the job.

Performance reviews include feedback about how well people engage in pro-active problem prevention and management. People are recognized and rewarded when they spot and attack a problem early on. To some extent, the leaders were transformed by this experience and they

have formed a leadership organization that develops other leaders. It is now expected that an officer must have this skill set. It is recognized as a matter of life or death.

Example of Consultative Skills Illiteracy

An entrepreneur started a manufacturing company in 1988. The company manufactured parts of houses to designers' specifications. This entrepreneur was exceptionally successful because of his timing in the marketplace. At the time, he was the only such manufacturer in his local area. But he was lazy. He did not want to build his organization, understand customers' changing needs, and respond in an innovative way to opportunities.

By 1993, he had three competitors and was losing significant market share despite being in a high growth area. Based on the outdated job-specialization principles of Scientific Management, he had set up an assembly-line system for manufacturing that required little expertise or personal involvement on the part of the workers. He paid them low wages and counted on turnover (which had increased from 30 percent per year to 25 percent per month). To him, people were like computer chips—if they stop working the way you want them to, just unplug them and put in another one.

This approach is referred to as computer chip management. He failed to count the costs of retraining and time off due to injuries of inexperienced workers. His turnaround time for delivery of goods increased and word spread that this was not the place to do business—and definitely not the preferred place to work.

The teenage son of one of the authors was working a summer job in a competitor's firm 35 miles away in another town. He liked the way his employer greeted him every day when he arrived at work; coached him to make continuous improvements and contributions during the assembly process; gave him raises for higher performance; and joked around with him during the lunch hour. To save 2 hours of commuting time and travel expenses, the son applied for a similar position in the dysfunctional firm, which was closer to home. He was hired.

When he came home after his first day at the new job, he was very upset. He said to his father:

I can't believe the difference between these two places to work. I can't stand this place. I wish I'd never changed from the other place. The owner of this company doesn't know how to build a company. He doesn't know how to treat people. He treats everyone like slaves, not people. When he's not there, people steal things from the inventory, talk about him behind his back, and work as slowly as they can get away with. When someone scraps a part, everyone laughs because they just count it as revenge on the boss for how he treats people. He doesn't even care about his customers. He is often late delivering the goods, lets flaws go through, and tells customers that if they don't like it, they can go somewhere else. I was going to work here part-time while I go to the university in the fall, but I'm quitting now and looking for another job. Most of the other workers are doing the same thing.

This example illustrates how powerful a dysfunctional leader can be. He only wanted to work *in* his company, not *on* it. He wanted to see what he could get out of it, not how he could build it. He could not play a consultative role and lacked the skills to assess the needs, wants, and problems of his employees and his customers. He lacked the skills to develop programs for change and development and he was slowly, obviously, going out of business. Even his employees demoted him by assigning him a new title: “Joke.” This is unfortunately not altogether uncommon for leaders in some police, fire, court, jail, prison, immigration, security, and customs organizations.

Example of Versatility Skills Illiteracy

Style rigidity suggests the image of Popeye. His favorite saying was, “I yam what I yam. I’m Popeye the sailor man.” His friend and enemy, Pluto, was even more rigid and predictable.

We thought, because we had power, we had wisdom.

Stephen Vincent Benet

The chief executive officer of a major company was known by his customers as a bureaucratic, arbitrary, and rigidly manipulative man. He was regularly caustic in his behavior and interested only in his own benefit—even at the expense of others. He engaged in put-downs and guilt trips even while trying to negotiate a contract to his advantage—more like Pluto than Popeye. He treated virtually everyone the same. This included his employees, his wife, his children, and friends. One friend even moved out of town just to get away from him. When one employee needed support and direction, he demonstrated a total lack of empathy. He criticized her performance and demanded more, calling her a whiner. When another employee wanted two-way communication to solve a problem, he predictably gave his premature advice and demanded conformance to his solution.

When his wife sought consolation following the loss of her mother, he left for a fishing trip, telling her “everyone dies, you’ll get over it.” He blew up at his kids and yelled at them for over 5 minutes because their rooms were messy. He lacked the skills and the versatility to become anyone’s problem-management facilitator, communicative friend, or consultative colleague. His rationalizations made him even more intractable as he proudly bragged, “Everyone knows where I stand—because I’m *honest*.”

He engaged in a self-assessment-center process using the 360 Degree feedback tool called the *Leadership Skills Inventory (LSI)* (available online at <https://www.crgleader.com/products/assessments/lsi-360.html>) and found he lacked most of the skills needed to be an effective communicator, coach/counselor, and consultant. He received harsh and honest feedback from his employees through this anonymous 360 Degree feedback.

Over a period of two years, he came to be respected as a “jerk-in-process,” a person humble enough to admit to everyone that he lacked important skills but was willing to learn.

He also realized that if he was going to salvage his marriage, he would have to make some major changes. Because he was on his third marriage, he began to take the feedback seriously—especially because he got the same feedback at home and at work.

Over a period of two years, he came to be respected as a “jerk-in-process,” a person humble enough to admit to everyone that he lacked important skills but was willing to learn. He did learn most of the skills and achieved a new level of self-respect and credibility among all those who could forgive the past. His marriage survives to this day and his teenage kids have not left home. Quite a transition.

The lack of versatility can cause serious problems. One deputy told the following story:

The Sheriff has a mental model that a good leader is autocratic and sets rules for others to follow. A stack of more than a foot of often-conflicting rules in the staff manual covers every possible situation. Staff meetings are held to feed the ego of the Sheriff.

During the meetings, the sheriff provides proclamations that each attendee is expected to enthusiastically endorse. God forbid that anyone should dare to question one of the sheriff's points of view or even suggest that more research might be helpful! A vicious personal attack on the “disloyal” member is sure to follow. As you might guess, sycophants abound.

People are afraid to make any decision in case the sheriff disagrees. And what is okay today, he may consider wrong tomorrow. Therefore, all decisions are passed up the chain. Yet if the sheriff hears someone say he would like to kick a potential decision around with others, he scolds the supervisor as someone who lacks sufficient self-confidence. The sheriff says a good leader doesn't manage by committee. Yet, the agency has many committees.

Apparently, the sheriff heard somewhere that a modern leader establishes committees. But he cannot break his autocratic style. The committees are meaningless. None of their suggestions are taken seriously. Consequently, people don't want to be on the committees. But they are caught on the horns of a dilemma because if you ask to leave a committee, you are marked as disloyal.

Understanding the basis for the sheriff's behavior is difficult. It is likely, however, that it was the type of leadership he experienced as a young deputy and he now feels he just can't change. It can be said with relative certainty that he is not likely to change; that is not helping the department.

On to Part II of This Book

Part II of this book provides an opportunity for you to grasp the underpinnings of Transforming Leadership and assess the leadership skills you have and the ones you need to develop. It will also help you to understand and learn to use the Transforming Leadership model to build a leadership and learning organization.

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Part II

Transforming Leadership Skills

2 Transforming Leadership: An Introduction to the Model, Principles and Skills

...The original purposes of police organizations were difficult enough, but superimposed on these difficulties are these modern problems which aggravate the situation and complicate it enormously. All other governmental activities are dwarfed in comparison.... Executive capacity of the very highest degree should be demanded and universities should vie with each other in turning out from their institutions people adequately trained to serve their country as efficient police leaders.

August Vollmer

The Wickersham Commission Reports, 1931

Leadership is about transformation.... Transformation is done by active people. A definition of leadership that states only active people are able to do leadership and a definition that insists the followers—as well as the leaders—be active is a concept of leadership that engenders transformation. Passive people are rarely transformed by ordinary human processes. Calamities may transform them, but not leadership. Leadership helps to transform people in organizations who engage themselves in the relationship that is leadership. In the process, organizations and societies may also be transformed.

Joseph C. Rost

Introduction

This chapter provides the “big picture” about what is important and distinctive about this book and the model and skills it presents and it also demonstrates their applications.

The end of this chapter provides opportunities to access some very useful self-assessments of health and leadership skills that can lead to significant improvements in overall leadership performance. We recommend that you complete as many of these assessments as possible when you begin reading this book so that you gain an early baseline of information about your skills.

As an option, you can complete the [Leadership Skills Inventory^{xxx}](#) so you have an awareness of your skills levels as you read the remainder of the book. Alternatively, you can self-rate yourself on each of the 60 skills as you read through this book.

You can also do a simple self-assessment (or give the tool to others to assess you) of the 40 Research Based Tasks and Responsibilities of Effective Leaders assessment tool that you can

[download^{xxvi}](#) here. Remember that learning the 60 Skills will enable you to better perform the 40 tasks and responsibilities of effective leaders.

To begin, what leadership is hasn't changed significantly since the publication of the First Edition (2000) of this book but the context of leadership certainly has. Now we are more interconnected by technology and global awareness; we are interdependent in that what occurs overseas has tremendous impact on what happens wherever we live; we have a heightened sense of uncertainty and urgency driven by economic and security issues. Everything and everyone has sped up like a gerbil on a sugar high.

To deal with these changes, Transforming Leadership presents an integrative model developed as a framework for developing leaders, teams, and organizations that can respond quickly to turbulent—and even spastic—change.

Therefore, this chapter considers the nature of this leveraged leadership model and the kind of leadership it can help develop, by examining the following.

1. Transforming Leadership Examples
2. The Emergence of Transforming Leadership
3. The Transforming Leadership Model
4. Principles of Transforming Leadership
5. Roles and Functions of Transforming Leadership
6. Attitudes and Characteristics of Transforming Leaders

As expressed by Germann in his book, *Police Executive Development*, (1962):

The Transforming Leadership model addresses this need for learning that prepares leaders to respond in complex ways to complex problems, to anticipate and lead the future, and to rebuild teams that respond to community needs and problems in creative ways.

The police administrator of today is faced with an ever-increasing complexity of responsibilities. Society is making demands upon him [that were] unheard of 25 years ago—demands of complex technology, of increased services, of more effective operations. If the police administrator is to meet the challenge, he must be prepared by adequate training.

If the preceding quotes were true in and 1962, they are even truer in the new millennium. The Transforming Leadership model addresses this need for learning that prepares leaders to respond in complex ways to complex problems, to anticipate and lead the future, and to build teams that respond to community needs and problems in innovative ways.

Transforming Leadership Examples

Some examples of leadership that have a transforming effect will help clarify the important differences between traditional and Transforming Leadership.

A top-level government executive realized that his management team lacked cohesion and harmony, that team meetings were fraught with tension and competition, and that some of the more important goals of the organization were not being reached because of poor relations among members of the management “team.” He privately surveyed each of his managers, summarized their individual perceptions and concerns, and called them together to present his findings.

The main trouble seemed to stem from the fact that the team was thrown together in a hurry during a time of available funding; no one spent much time discovering the strengths of others, clarifying roles, or agreeing upon goals in the organization. They were so operationally busy that they weren’t strategically adept. The group called in a consultant to run a three-day team-development session, followed by a three-day strategic planning session. By the end of that year, the group had not only achieved its goals—it surpassed them. Tension levels dropped, job satisfaction increased, and cohesion and creativity developed within the group.

Traditionally, there would have been no systematic intervention, with the resulting effect of either increased tension or backbiting, with lowered performance or increased turnover or both. The Transforming Leader’s intervention was based in the skills of confrontation, challenging, problem-exploration, problem-specification, problem-ownership, goal-setting and ownership, action-planning, and facilitating organizational development. Below are two examples of how competent facilitative leaders got positive results with confidence:

1. After a serious riot in a maximum-security prison, the deputy warden decided to call in a stress and health consultant to work with staff whose lives had been threatened. Some of the officers were trapped in their living unit offices while inmates set fire to the offices. The result was evidence of post-traumatic stress syndrome in many officers (anxiety attacks, insomnia, depression, irritability, distractibility, absenteeism). After an assessment of officer needs, the deputy warden decided to offer health and wellness training to all the officers who wanted it and personal stress counseling sessions for all who wanted to speak to a psychologist.

Also, a consultant was called in to assess the organizational climate and the prior factors that precipitated the riot. Because of this intervention, changes were made that, over a period of a year, resulted in a significant drop in absenteeism, a reported increase in morale, and significantly fewer stress symptoms reported among staff. Moreover, there were no further riots at this institution for five years. The Transforming Leader’s actions were based in the skills of advanced empathy, problem-exploration, problem-specification, and referral.

2. No situation evokes a greater image of a call to leadership than when someone must replace a fallen leader. Such was the case for a member of a police tactical unit. Its leader had died during a tactical operation. The new leader, elevated from the ranks, was faced with numerous crucial and some potentially crushing issues. One of these was the use of this horrific incident by some as an emotion-based challenge to police management to make immediate and costly changes in the equipment and resources provided to the tactical unit. The incident added fuel to an already contentious situation.

The new leader was faced with this challenge; rational thought clearly indicated that a slower, more research-based approach was necessary to ensure the unit was equipped only after an objective and thorough evaluation of its needs. The pressure on the leader to act swiftly came from within the unit and from outside.

But the new team leader, emphasizing a cognitive-based personal style, could mitigate the emotional tide through interpersonal communication skills. The Transforming Leadership skills of listening, responding, and—where necessary—confronting helped move the unit toward a shared vision and purpose. Although it took longer than some might have wished, the unit achieved new levels of professional growth in terms of training, skills, and the acquisition of resources under the new leader's stewardship.

Obviously, such results do not occur simply because a program is inserted into the environment. The people involved must accept and utilize such a program and the program must be introduced in such a way that it is perceived as a welcome addition. As noted by Robbins and Finley (1996), "We adore change and the stimulation and improvement it can represent and in the same breath we despise the discomfort and anxiety it imposes on us." This is where the comprehensive approach taken by Transforming Leadership can lead to greater success in anticipating, managing, and planning change. These examples illustrate the essence of Transforming Leadership in several different environments.

Next, we turn to the aspects of gaining a better understanding of the foundational theories of Transforming Leadership.

Leadership and Management: Interrelated but Different

Management is keen on doing things right. Leadership is more concerned with doing the right things.

Peter Capecio and
Debra Morehouse

There are clear differences between a management and a leadership orientation. However, the integration of the two orientations presents a complete view of what is necessary for effective creation and transformation of an organization and the people in it. Also, the re-cyclical nature of the Transforming Leadership approach provides a sense of the fluidity of the process. Rather than a cycle, perhaps it could be better represented as a spiral moving through time.

The Leading Manager: Integrating Diverse Orientations

It can be seen how important each of the tasks and functions is in management and leadership and how certain functions must be performed prior to others, in a step-by-step but flexible manner. It is also useful to think of management and leadership as two separate but interrelated areas because there has been so much confusion about their separate identities and purposes.

Unless both work together in a balanced manner, each will suffer and be less effective. Without leadership as the foundation of management, management cannot function effectively because it is undermined by a lack of humanity, clarity, focus, adaptability, and creativity. Without

management, leadership might never follow through enough to get the results needed for long-term success.

Leading in Times of Change: A Futures Orientation

The necessity of integrating management and leadership knowledge and skills within each key decision-maker—or at least on each team—is becoming more critical as we are faced with increasing complexity, spastic change, and unpredictability. Each manager must lead and each leader must manage in a world where both leadership and management dimensions must be developed to respond to constant change and pressures, both internal and external to an organization. Increasing pressures of a technical, interpersonal, and organizational nature are already upon us; they are not likely to diminish.

Change must be envisioned, anticipated, managed, and embraced by key leaders and this leadership must be exercised on a global scale. In this way, we can better cope with the acceleration of the rate of change happening now and that will likely occur in the future.

The focus at a policing conference in Vancouver, British Columbia several years ago, was “Challenge the Future with Best Practices in Police Leadership.” The theme at this international conference was to compare the best of what has worked (and what has not worked) in facing many current problems and many that are anticipated.

Dr. William L. Tafoya, law enforcement futurist, was keynote speaker at the conference. He noted that we could expect massive urban unrest and civil disorder by 1999. Drug abuse and spousal and child abuse, like a cancer, would continue to spread widely. Political terrorism, already epidemic elsewhere in the world, would worsen in the United States, thereby putting pressure on not only federal law-enforcement agencies but local agencies, as well. The accuracy and truth of this comment would soon be realized in the horrific events of September 11, 2001. The much-feared nuclear terrorism of the “dirty bomb” may become a reality, calling for an increasing array of security measures, including planning for mass evacuations. This, too, has become a reality as events in Asia and the Middle East continue to occupy the evening news.

Another finding of his study of law enforcement practices and opinions nation-wide was that computer-related crime would emerge as a threat to the American economy and national security. Computer criminals in the workplace already cost American businesses up to \$3 billion a year. Crimes committed using high technology will become so complex that some police agencies will be unable to do more than take initial reports, although other law enforcement agencies believe they will develop enough expertise in this area to handle the threat, just as they have in other areas of criminal endeavor. To gain an appreciation for the scope of the problem, we need only visit the National Infrastructure Protection Center (NIPC) at the US Department of Homeland Security Website or the US Department of Justice Computer Crime and Intellectual Property Crime Website.

Law enforcement must begin to learn to deal with hacking, phreaking, phishing, piggybacking, data diddling, super-zapping, scavenging, trapdoors, Trojan horses, logic bombs, and a whole host of other computer threats propounded not only by professionals but also by precocious and often naïve youngsters. To address such threats, security and law enforcement organizations not only need computer-literate officers, civilians, and managers, but must develop a new sophistication to deal with such complexity.

At present, too few agencies are well equipped to deal with high-tech crime, Tafoya said. Even so, many in the field have faith in the ability of law enforcement to understand and use computers and other technology that law officers will keep pace with the ability of criminals to use that same technology.

The pressure on our jails will not diminish, Tafoya predicted, as Americans become increasingly concerned about crime. Some suggest that the cure to jail and prison overcrowding is increasing reliance on home electronic-monitoring. Community involvement and self-help by citizens (community-oriented policing) will become common practice in much of the nation, his report said. Even so, policing in the future may, in large part, be contracted out to private security firms. Finally, most police executives will have to adopt a non-traditional (pro-active/goal-oriented rather than top-down) leadership style.

The bottom line, said Tafoya, is that law enforcement's technical knowledge and skills need to be honed to deal with future crimes; we should not wait for these types of crimes to become rampant before we start preparing our officers. Not only is computer knowledge vital, it is expected that a Bachelor's degree from a university—instead of a high school diploma—will be the mandatory qualifier for a law enforcement career in the near future.

Every blue-ribbon law enforcement panel convened since the 1931 Wickersham Commission has recommended higher education for police officers. In the next four decades, Tafoya concluded, advanced formal education will become the standard in law enforcement. Obviously, those better qualified people—who will be more analytical and more tolerant police—will have to be paid a higher salary.

Other predictions are that law enforcement leaders will realize that they must become:

- more rather than less specialized;
- better trained to deal with emerging threats (blood-borne pathogens, domestic violence, mental illness, more dangerous drugs, homelessness, etc.); provide better survival training to deal with more sophisticated firepower, and develop new strategies and tactics to deal with the resurgence of militias and their ilk;
- part of a communications revolution. Most agencies are wired into the World Wide Web; and most police cars have data terminals and cell phones. Identification by means of electronic telecommunications fingerprints, facial ratios, retinal patterns, etc., will increase;

- part of world-wide policing. In a world in which a person wanted in Moscow can be in New York in less than 8 hours and fraud in Los Angeles can be committed by someone sitting at a terminal in São Paulo, traditional jurisdictional lines will blur;
- involved in the revolutionary changes besieging the workplace. This includes not only privatizing jails but also perhaps contracting out law enforcement as a whole to private concerns—rent-a-cops or temp-cops to cover shifts or even whole jurisdictions.

While leaders get ready to deal with the realities of the above issues, they must also develop the leadership capabilities required to capitalize on the power of consensus around a common vision of justice and order and to lead teams, organizations, and communities. Transforming Leadership is a comprehensive model for the development of leadership that is capable of developing other leaders while the jobs get done.

We can influence the direction of events in the future only as we anticipate future trends, formulate alternative responses to these future scenarios, and are prepared to implement alternative action plans in concert with community leaders and community awareness and support. In this way, we can continue to correct-course as the winds of change shift direction unpredictably. For further reference on this issue, refer to *The Future of Policing* (Oxford University Press, 1997) by Morgan and Newburn.

Community leaders (city councilors, mayors, and citizens) involved in making funding decisions about police, justice, and public safety must gain perspective on the necessity to plan for more than minimally adequate funding of services to address the complexity of issues coming in the future. Otherwise, communities will find that their forces for dealing with crime, fire, emergencies, etc., may be seriously lacking. In this time of dramatic and sweeping change, it is important to help funding decision-makers articulate the difference between minimally adequate, adequate, good, and excellent policing, fire, emergency, correctional, and court services.

A Time for Vision in an Era of Change

You must be the change that you wish to see in the world.

Mohandas Gandhi

Our planet has likely never seen such a complex and difficult time in human history. For this reason, leaders need to understand the kind of leadership that stimulates positive transformation and breakdown prevention. Egan (1985) most aptly states some basics of a theory of transformative leadership by describing clearly what a Transformational Leader does:

Transformational Leaders are shapers of values, creators, interpreters of institutional purpose, exemplars, makers of meanings, pathfinders, and molders of organizational culture. They are persistent and consistent. Their vision is so compelling that they know what they want from every interaction. Their visions don't blind others, but empower them. Such leaders have a deep sense of the purpose for the system and a long-range strategic sense and these provide a sense of overall direction. They also know what kind of culture, in terms of beliefs, values, and norms, the system must develop if it is to achieve that

purpose. By stimulating, modeling, advocating, innovating, and motivating, they mold this culture, to the degree that this is possible, to meet both internal and environmental needs (p. 204).

McShane (2004) refers to Transformational Leadership as the creation, communication, and modeling of a vision followed by the building of commitment with the followers. This clear vision of some ways a transformative leader can achieve positive results will assist you to further identify the somewhat elusive nature of Transforming Leadership. In addition to clarity of vision, the use of positive power is a necessary aspect of Transforming Leadership.

Power for Change

Bennis and Nanus (1985) reintroduce the seemingly lost concept of power as a key to transformational leadership. They observe that many, if not most leaders, have visibly lacked wholehearted commitment to the challenge of leadership, have been overwhelmed by the rapid change and complexity of our era, and have lacked the necessary integrity and credibility to earn the trust and respect of followers. They claim that the kind of leadership needed is transformative leadership:

Power is the basic energy needed to initiate and sustain action or, to put it another way, the capacity to translate intention into reality and sustain it. Leadership is the wise use of this power: Transformative Leadership. As we view it, effective leadership can move organizations from current to future states, create visions of potential opportunities for organizations, instill within employees a commitment to change, and instill new cultures and strategies in organizations that mobilize and focus energy and resources (p. 17).

Leaders who are particularly successful in acquiring and sustaining power have several things in common. In his studies on the use of leadership power, Kotter (1979) observes there are several keys to success for those effective in the use of power. They tend to be very sensitive to where power exists in their organizations. They use specific methods to develop power, if the methods are ethical. They take calculated risks in which they “invest” some of their power in the hope of gaining it back with interest. They recognize that all their actions can affect their power; they avoid actions that will accidentally decrease it. In their career development, they try to move both up the hierarchy and toward positions where they can control some strategic contingency for their organizations.

We can see it is possible that one of the reasons some people are not very effective in developing leadership effectiveness is that they do not know how to establish their own power image in the minds of others. To do this, it is possible to assess the different kinds of power a person could possibly have and set about developing these different types of power for positive purposes. Image management (managing your own self-image and self-presentation) can have a positive impact on the images others have of us in their minds. Others have developed the need for personal power rather than the socialized power required for successful transformational leadership. Rather than considering power as a tool to use for the benefit of others, they see

power as their own, neither to be given away nor shared. Such an approach to power will at best receive compliance and at worst receive resistance.

Kanter (1982) found that formal authority was less important to managers attempting innovation than the legitimate power and related influence factors they exercised beyond the formal mandates of their organizational positions. Clearly, a greater understanding of power, power relationships, how to develop appropriate relationships, how to keep those relationships, and how to use those relationships effectively are critical in Transforming Leadership.

The Subtle Nature and Potency of Transforming Leadership

I cannot say whether things will get better if we change; what I can say is they must change if they are to get better.

G. C. Lichtenberg

Burns (1978) further clarified the character of Transforming Leadership when he stated it is more than mere power-holding and it is the opposite of brute power. He described the relationship between most leaders and followers as a transactional, favor-for-favor type of interchange. He does, however, point us to a view beyond the transactional tit-for-tat relationship of jobs for votes, subsidies for campaign contributions, or raises for more production.

Transforming Leadership, while more complex, is more potent. The Transforming Leader recognizes and exploits the existing need or demand of a potential follower. But, beyond that, the Transforming Leader looks for potential motives in followers, seeks to satisfy higher needs, and engages the full person of the follower. The Transforming Leader must recognize that he or she cannot motivate the follower. Motivation comes from within.

The result of Transforming Leadership is a relationship of mutual stimulation and elevation that converts followers into leaders and may convert leaders into moral agents of change. Moral leadership emerges from and always returns to the fundamental wants and needs, aspirations, and values of the followers—the kind of leadership that can produce social change that will satisfy followers' authentic needs.

Greenleaf (1977) had foresight in predicting the terrain of leadership theory today when he wrote:

A fresh look is being taken at the issues of power and authority, and people are beginning to learn, however haltingly, to relate to one another in less coercive and more creatively supporting ways. A new moral principle is emerging: the only authority deserving a person's allegiance is that which is freely and knowingly granted by the led to the leader, in response to and in proportion to, the clearly evident servant stature of the leader.

Those who choose to follow this principle will not casually accept the authority of existing institutions. Rather, they will freely respond only to individuals who are chosen as leaders because they are proven and trusted as servants. To the extent that this principle prevails in the future, the only truly viable institutions will be those that are predominantly servant-led (p. 9).

*He who has great power
should use it lightly.*

Lucius Annaeus Seneca

On the issue of power, Greenleaf would later write in Spears (1995) on the recognition of this fact by executives who through attempted deception tried to pass themselves off as servant leaders. “Arrogance does not always show; most successful executives have mastered an appropriate *persona*. But, almost universally, they fail the acid test of the genuineness of the *façade*.” (p. 27)

A more recent view on Transforming Leadership is presented by Kanter (1983). She encourages a responsible, balanced leadership in serving the needs of the followers and the needs of the organization simultaneously through participative leadership.

While encouraging participation, innovators still maintain leadership. Leadership consists in part of keeping everyone’s mind on the shared vision, being explicit about “fixed” areas not up for discussion and the constraints on decisions, watching for uneven participation or group pressure, and keeping time bounded and managed. Then, as events move toward accomplishments, leaders can provide rewards and feedback, tangible signs that the participation mattered (pp. 275–277).

The Qualities Followers Want to See in Leaders

Kouzes and Posner, in landmark research reported in their book, *The Leadership Challenge*, conducted a most interesting study of over 1500 managers to discover the positive practices in which their leaders engaged (1987). They identified four key qualities that can be found in the behavior patterns of effective and admired leaders.

1. Honest
2. Competent
3. Forward-looking
4. Inspiring

Since then, they have continued their study of the most effective leaders who inspire followers; they have continued to validate the same five practices and 10 commitments that make the big difference in leadership performance.

1. Practice: Challenge the process
 - Commitments:
 - Search for opportunities
 - Experiment and take risks
2. Practice: Inspire a shared vision
 - Commitments:
 - Envision the future
 - Enlist others

3. Practice: Enable others to act
 - Commitments:
 - Foster collaboration
 - Strengthen others
4. Practice: Model the way to the desired objectives
 - Commitments:
 - Set the example
 - Plan small wins
5. Practice: Encourage the heart of everyone involved
 - Commitments:
 - Recognize individual contribution
 - Celebrate accomplishments

These five practices and 10 commitments represent central issues important to the understanding of Transforming Leadership. *The Leadership Challenge*^{xxvii} (Kouzes and Posner, 2017) is recommended highly as a book with a very practical focus on understanding and integrating these five most effective leadership practices. Also recommended is a work by Kouzes and Posner (1992) titled, *Credibility*^{xxviii}, which corroborates their original findings from their previously published work from 1987 and outlines critical ways leaders must develop credibility or fail to have the impact they could.

How Transforming Leadership Leverages the Practices in *The Leadership Challenge*

The function of leadership is to produce more leaders, not more followers.

Ralph Nader

In designing Transforming Leadership, leaders' deep need to know the simple and effective behaviors in which they could engage to bring these important practices forward in their workplaces was recognized. In field research, executives and leaders said they needed clear definitions of skills and competencies that would enable them to more quickly learn how to foster collaboration, to inspire a shared vision, to encourage the heart, etc.

So, in four separate studies, over 4000 police leaders in 14 police departments in Canada and the US identified the leadership behaviors they believed were necessary for effective leadership performance, regardless of rank or position (Anderson, *et al.*, 1997, 1998, 1999, 2000). There was significant agreement among the different groups; more than an 80 percent overlap with Transforming Leadership skills emerged originally from research in business leadership in the 1992 and 1998 editions of the *Transforming Leadership* book. There was also little disagreement between sworn and non-sworn staff about what constituted effective leadership.

In examining other fields in the justice and public safety systems, it was found that the skills contained in this book are generic and can apply to any work situation throughout the system.

As Jim Kouzes stated in a recent conversation with Dr. Anderson, “Leadership hasn’t changed, but the context in which leaders operate has shifted dramatically.”

The above research and the research in the education and business sectors that established the foundation for the book, *Transforming Leadership* (Anderson, 1992, and 1998) gives confidence that the competencies being presented to justice and public safety leaders is relevant, up to date, and applicable.

There are more elegant competency lists. The Royal Canadian Mounted Police has perhaps the most well-delineated [competency dictionary^{xxix}](#) that exists. They have just completed a revision of their leadership dictionary; it is exhaustive and refined. They plan to continuously update the dictionary as new competencies are found to be relevant. To be effective and useful, however, any competency list must not only be based in research, it must also be clear and brief enough to be understood, remembered, and applied. As Einstein said, “Everything must be done as simply as possible, but not simpler.” Thus, this book attempts to distil the competencies to the least possible number without losing anything pivotal to leadership development and performance.

The Intertwining of Management, Leadership, and Power

Kotter (1990), in *A Force for Change: How Leadership Differs from Management*, outlines how subtly various successful executives behaved as they artistically intertwined the various aspects of their approaches into a powerful force for positive change. Specifically, the most effective executives created agendas for themselves, made up of loosely connected sets of short-term plans, medium-term strategies, and long-term visions.

They each built resource networks that could accomplish these agendas by staffing and structuring the jobs reporting to them, by communicating their plans and visions to people, and by establishing cooperative relationships with a broad range of individuals whose help they might need. They then actively sought to influence people in those networks when necessary to assure the achievement of their agendas; they did so in a wide variety of ways—sometimes trying to control people and activities, sometimes attempting to inspire others to new heights of performance. Overall, this behavior was extremely complex and, as has been reported in other in-depth studies of executives at work, did not look much like traditional management.

What these executives were doing, in the language of this book, was a combination of management, leadership, and still other things (chief among them was the appropriate use of sources of power that could help them manage, lead, and get promoted). All these various aspects of behavior, however, were highly intertwined. They did not manage for 15 minutes then lead for half-an-hour.

Instead, during a single 5-minute conversation, they might:

- evaluate if some activity was proceeding as planned (a control part of management);
- gather information relevant to their emerging vision (the direction setting part of leadership);
- promise to do someone a favor (the use of a negotiation influencing strategy); and
- agree on a series of steps for accomplishing some objective (the planning part of management).

As a result, to the observer, what they were doing did not look much like management or any other recognizable activity. The managers themselves even found their own behaviors difficult to describe and explain.

With the kinds of complex demands placed upon those in positions of leadership, it is not surprising that a wide range of skills should be displayed in the behaviors of those who are most successful. A model that can capture the components of this complexity and render them transferable to others is needed. Such a model will provide guidance for self-assessment, planning for training, and for evaluating the effectiveness of your own or others' leadership behavior.

Transforming Leadership provides a model for integrating the various complex parts of the effective leadership behaviors exhibited by the executives Kotter studied—whose leadership helped turn around NCR, P & G, and Kodak and stimulated business growth at American Express, PepsiCo, and ARCO.

These same kinds of behaviors helped Mayor Giuliani in New York improve the quality and quantity of policing in New York.

The Transforming Leadership Model

In developing this model, an interdisciplinary approach was taken to capture specific philosophical, theoretical, and scientific investigative results that together have a range of practical applications. The following theory and practice bases should be recognized as important in the formation of a more integrative and comprehensive model such as Transforming Leadership.

1. Interpersonal communication
2. Counseling and problem-management
3. Human development
4. Human resources development
5. Organization development
6. Transforming Leadership theory and principles

From the above bodies of research and theoretical formulations have emerged chunks of applicable knowledge or sets of easily learned and teachable qualities and skills. Because of learning these skills or developing such qualities, it is easier to bring forward into reality not only competencies, but also some sense of the art or charismatic (character) power involved in Transforming Leadership.

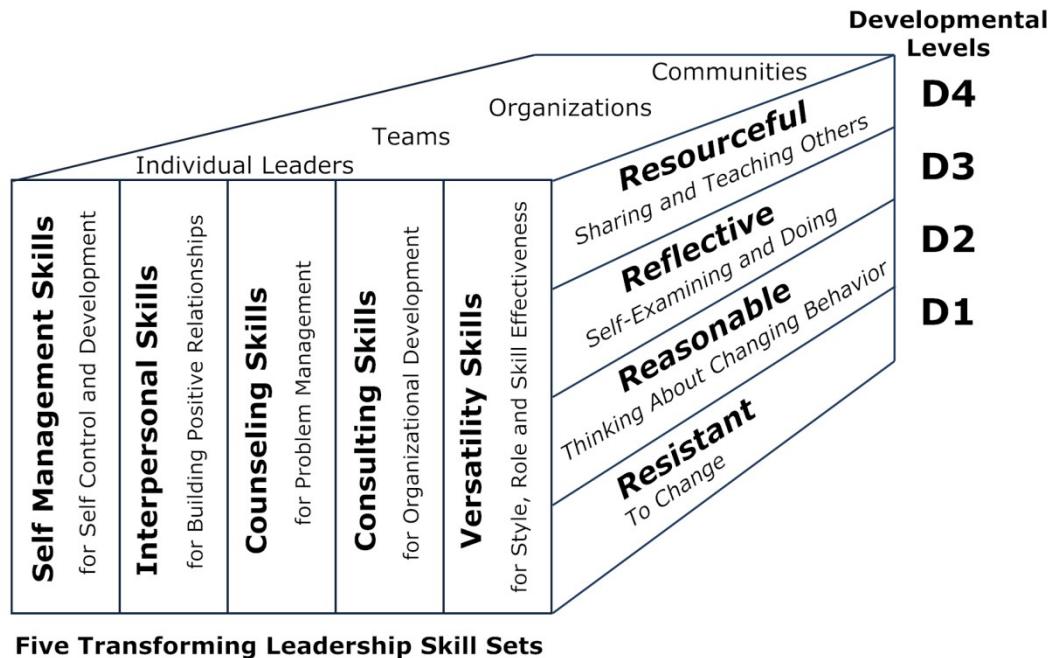
A model is an approximate map of what reality could look like; it is clear enough to give a reference point for evaluation of your own effectiveness when trying a particular leadership intervention. This clarified reference point and increased evaluative ability help leaders make the necessary shifts to fine-tune responses to people, teams, organizations, and communities and create more positive and potent impacts.

Transforming Leadership: A Research-Based and Philosophy-Based Model

There are so many theories and philosophical assumptions about what you should do to become more effective that it is difficult to trust just anyone offering another panacea, wonderful training, or action-oriented program. The concepts and competencies in the Transforming Leadership model are based on applicable research and theory in communication, counseling, and consulting (organization development and human resources development).

Although philosophers and practitioners often attempt to convince others that their school of thought is the correct one, that is not the case with the Transforming Leadership model. *Every Officer Is A Leader* provides dozens of practical examples of how each skill in the model can be applied in concert with other skills to form a comprehensive approach to the development of people, teams, and organizations and, as a result, makes a positive impact on the security and safety of communities. A visual overview of the Transforming Leadership model is presented below.

The Transforming Leadership Model



An explanation of the details of each section of this model is contained in the chapters of this book. For example, the skills of personal mastery are explained in Chapter 3, the interpersonal communication skills are the focus of Chapter 4, and the counseling and problem-management skills are defined and illustrated in Chapter 5. The meaning and application of the model will become clearer as you read through this book.

Leaders who utilize the five Transforming Leadership skill sets and knowledge areas in the model have greater potential to shape organizational climate and the interpersonal environment to achieve the desired strategic and operational results. Except for the management functions, these skills and knowledge areas are discussed in greater detail in Chapters 3 through 7.

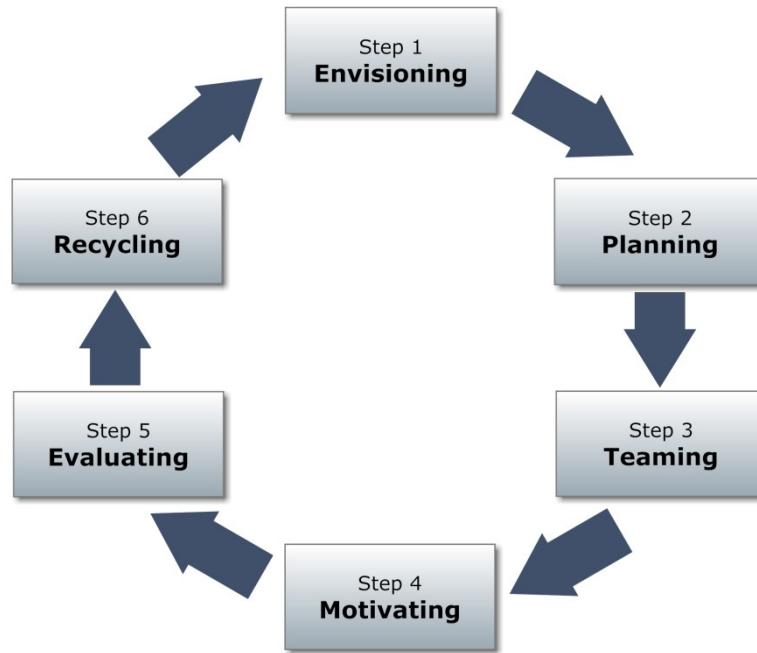
It is not the purpose of this book to introduce the reader to the knowledge and skills of effective management because there is a wealth of good books that accomplish this goal more than adequately. It is important, however, to understand that in reality, Transforming Leadership is not a rigid, linear, step-by-step process, even though a series of steps can be outlined to assist in understanding how the process can work. We don't want leaders to robotically perform skills, but to weave them seamlessly into their own style.

Steps in the Transforming Leadership Process

Leadership can be viewed as a complex process involving a fluid series of steps (that may overlap or reverse into one another, depending upon the circumstances). When this process is

understood, it can assist leaders to develop people and bring a vision of human and organizational transformation into reality. Without a compelling and clearly communicated vision, the *status quo* often remains and innovation and development are arrested.

Learning to use the steps in the Transforming Leadership process model can increase the leadership-behavior appropriateness score.



The following summary further delineates what is entailed in each of these steps.

1. **Envisioning**

This first step requires imagination, creativity, and an understanding of the history of a group or organization so what is possible in the future can be more accurately and realistically specified and articulated. For most people, this is the most difficult of all the steps because it requires originality and stepping out of the ordinary ways of thinking and doing things.

Because habits are strong and new ideas are accepted slowly, there is more risk involved than many people are willing to take. It is the critical step, however, because innovation and improvement usually happen because some person conceived a better way to work or a better way to live.

Envisioning must also be based upon specifying and meeting real needs or there will be no appetite for the new service or product being offered by a person or an organization. The vision

paints the picture of the desired future. This becomes a driving force that will contribute to the overcoming of the restraining forces that fight against change.

2. Planning

Once a vision is captured (with or without dialogue with others), it can be built upon through carefully specifying just how, where, and when a thing can best be done and who might best do it. This may involve family or committee meetings, brainstorming sessions, team development sessions, conflict resolution, and negotiation. As the plan develops, if it is to succeed, there must be enough vision, acceptance, and enthusiasm about it to be truly shared by all involved. This is known as achieving critical mass. Otherwise, the likelihood of its succeeding can be seriously diminished.

When leaders have an opportunity for involvement that challenges them personally, they are more likely to invest themselves at a deeper level in achieving successful outcomes. Finally, this planning process must include highly specific and concrete goals, objectives, and program steps for the timely accomplishment of worthy and realistic aims.

3. Teaming

Selectively giving responsibility to others involves building harmonious and productive teams by placing people in appropriate groupings that they see as desirable (whenever possible), giving them tasks appropriate to their strengths and interests, and supporting them emotionally and physically in the process of their taking on responsibility. This ensures they will more likely meet the challenges they hopefully chose to meet.

Matching the nature of a person with the nature of the job and matching people with people is an effective way of exercising leadership discernment. A more recent innovation is the development and successful field-testing of the Coaching a Continuous Improvement Team Process Model, which will be introduced in Chapter 6. This model builds a cross-functional leadership brain-trust team that supports and advises management to more creatively solve problems (both internal and external to the organizations), leverage unused opportunities, anticipate and manage future trends, and respond more proactively to change. It is like putting a turbocharger on an already effective engine...it will run faster, quicker, better.

4. Motivating to Action

Once some acceptance is established, motivation must develop inside people (for internal or external reasons) on a continuing basis or the plan will not be realized to the level of quality originally envisioned or within the time allotted. Note the comment *motivation must develop inside people*. Despite the assertions of some self-described leaders, leaders do not motivate. They provide a condition or environment in which an individual aspires to higher levels. Motivation is internal, not something provided by others. Therefore, a system of rewards must be established and valued by individuals so motivation can be kept at a challenging and yet comfortable peak.

People will not work hard when they feel that what they give is a great deal more than what they get—they find it demoralizing.

A sound psychological research basis for this is grounded in Victor Vroom's Expectancy Theory, which states there is a relationship between an individual's effort and the probability and desirability of receiving specified rewards. Many things act as rewards. Identifying people's hot buttons—a whole range of them—and giving them reasonable rewards and opportunities that encourage them to stay motivated are key factors in transforming people and organizations.

Motivation leads to the most important aspect of organizational life: Action. Higher levels of motivation and achievement can be accomplished by meeting the deeper needs of people: Needs of recognition, accomplishment, challenge, belonging, meaning, and purpose. This is not manipulation but rather respect for people to have a sense of need for both internal and external rewards in return for the sweat of their lives.

The Continuous Improvement Teams mentioned above have been successful in fueling high levels of motivation for positive change. How these work in a practical and detailed manner will be described in the Applications section of this book.

5. Evaluating

Evaluation of the results of a change effort is a complex but necessary business. It is important in terms of making improvements in the plan and being able to jointly celebrate a specific level of success. The more carefully specified the plan is in terms of identified accomplishments to be reached, the easier the evaluation of the results. In designing the plan, evaluation criteria should be made a part of the plan. They should be realistic, desirable, concretely defined in terms of accomplishments, and measurable.

6. Recycling the Process through Evaluation

Periodically, after a time of evaluation, all the steps in this process need to be repeated so that false assumptions are not made about how events are going or how they should best go. Rethinking the vision, reformulating and renegotiating the plans, finding new motivators, regrouping for greater harmony and productivity, and re-evaluating keep people and organizations alive to what is real and to what has positive change potential.

With the skills, understanding the Transforming Leadership model, and internalizing these process steps as a backdrop, it is time to examine the 12 principles that lie at the heart of Transforming Leadership.

Twelve Principles of Transforming Leadership

As a part of this summary of Transforming Leadership, an outline of principles involved in the model is important. Principles of Transforming Leadership are general operating guidelines

that can be applied in a wide variety of situations. These principles are outlined below; as they are read, they can be assessed in terms of the extent to which there is agreement with them.

Self-Assessment I: Identifying Your Own Position in Relation to Transforming Leadership Principles

Rate the extent of your agreement with the 12 Principles of Transforming Leadership. This will give you an opportunity to discover the extent to which you buy into these basics of

Leadership is the capacity to translate vision into reality. Warren G. Bennis

Transforming Leadership. Doing this assessment will assist you to identify how much you are committed to the idea of seeing yourself more and more as an agent of positive change. You can rate each of the 12 principles from 1 to 5 to indicate your acceptance of them into your value structure.

1	2	3	4	5
Rejection	Avoidance	Neutrality	General Acceptance	Complete Acceptance and Agreement

Score

1. Every person in every situation is having an impact, for better or worse, on the people and the situations that are present.

Score: _____

2. Learning to observe this impact alerts us to the reality of positive or negative leadership opportunities and events. Increasing our level of awareness of people and events can be fruitful for everyone.

Score: _____

3. Every person can choose to try to make a positive difference in each moment with each other person and, at least within that immediate sphere of influence, can likely exert some positive—and therefore Transforming—Leadership.

Score: _____

4. The use of positive and respectful power and influence is necessary for leadership to have enough impact to be effective. Knowing your own strengths, gaining strategic-position power, developing a power network of like-minded people, and communicating your personal and position power in a positive way to others will assist you to reach higher goals.

Score: _____

5. Everything begins with the initiative of each individual. Privately, inwardly, individuals determine in themselves what to do, how to act, and how to treat people. If we are each clear inside about our own beliefs, purpose, goals, and objectives, we will be much more likely to achieve them from this solid and well-defined center within ourselves.

Score: _____

6. Leadership, in its truest sense, is understanding and meeting the deeper needs of the people being served. Even when achieving goals of increased innovation or productivity, the cornerstone of motivation and satisfaction is meeting the deeper human needs of worth, recognition, reward, accomplishment, and personal development of others.

Score: _____

7. Transforming Leadership has a moral component that is centrally important to all other aspects of leadership. Few people will trust a leader who has lied, embezzled, or hurt others.
Score: _____
8. Transforming Leadership understands and involves others so they can gain a critical sense of belonging and experience the mutual sense of respect and trust that follows. Personal ownership in any venture can potentially increase motivation, morale, creativity, energy, and productivity.
Score: _____
9. There is opportunity for leadership in every environment, in every interaction, in every situation, in every moment. Leadership is intentionally making a positive difference in the development of organizations and individuals for a specific purpose. Being awake to these opportunities and seizing them increases personal meaning and impact in life and work.
Score: _____
10. Transforming Leadership looks for long-term impact and long-term development, rather than just immediate results. Satisfaction increases when we can see continuing positive development over longer periods of time, rather than just short-term successes.
Score: _____
11. Transforming Leadership begins deep within a person's belief and value structures; a solid sense of purpose or mission in life is necessary for leadership effectiveness to be sustained. Have a well-defined, achievable sense of purpose that sets you on fire and distinguishes you from the herd of people who follow along with a vaguer purpose of some relatively unknown heroic leaders (such as in politics, sports, science, etc.).
Score: _____
12. Transforming Leadership is always open to the possibility that there may be another higher, or deeper understanding of reality beyond what is presently comprehended. An attitude of humility, as opposed to being puffed up with pride, characterizes a Transforming Leader.
Score: _____

Total score: _____

Interpretation of Scores

- If you scored 52 to 60, you have a high degree of agreement with the underlying principles of Transforming Leadership and likely are willing to move ahead with further development of the skills.
- If you scored 44 to 51, you have a moderate degree of agreement with the principles of Transforming Leadership; you may have some reservations about proceeding with further development of the skills.
- If you scored 43 or below, you likely have serious reservations about the underlying assumptions of Transforming Leadership that will probably influence your acceptance of further learning of the model and skills.

These principles, when internalized and implemented in a leader's life, result in greater leadership impact in the wide range of roles leaders must play. These roles are examined further in the next section.

Comparing Traditional and Transformational Functions and Roles of Leadership

Classical theories as outlined by Stogdill (1974) in his monumental review of leadership theory and research suggest the primary functions of a leader are planning, organizing, and controlling. Various theorists have added coordinating, supervising, motivating, and other functions to the list. Functions that have been identified by behavioral theorists and researchers include the following.

1. Defining objectives and maintaining goal direction
2. Facilitating team task performance
3. Facilitating team action and interaction
4. Maintaining team cohesiveness and member satisfaction
5. Providing and maintaining team structure
6. Providing means for goal attainment

Again, the definitions of leadership and management are clouded.

These Functions of Transforming Leadership are necessary for greater impact on the development of individuals and in organizations in which they live and work. These functions are the following.

1. Creating and communicating vision and purpose
2. Doing strategic and versatile thinking and planning
3. Facilitating peer, subordinate, and team development
4. Facilitating the development of the organization
5. Protecting individuals from destructive forces
6. Protecting the organization from destructive forces
7. Seeking and communicating consensus between and among teams
8. Specifying philosophy and values and creating culture
9. Creating insight
10. Motivating people to action

Traditionally, the roles of leadership have been divided into three main categories (Mintzberg, 1973): interpersonal, informational, and decisional roles. Transforming Leadership theory asserts that the informational and decisional roles are primarily management functions, even though they can be handled creatively from a leadership as well as from a hardline management perspective. Therefore, these three traditional roles exclude some important dimensions that can make a critical difference in leadership effectiveness and potency. The essential roles that encompass some of the traditional roles and introduce some new ones form the structures and

avenues for the effective execution of Transforming Leadership. These roles are graphically introduced and expanded in the table on the next page.

Although these roles and functions are not exhaustive, they capture some of the essence of what is believed to produce a transforming effect on individuals, groups, and organizations. It should also be kept in mind that effective management practices form the solid platform from which these additional functions can be carried forward.

Now that the review of the roles and functions central to Transforming Leadership is complete; the critical attitudes and characteristics of Transforming Leaders will be examined.

Roles and Functions of Transforming Leaders

This part of the chapter can be used as a means for readers to look at themselves in relation to what has been discovered to be effective attitudes and characteristics of Transforming Leaders. In doing this self-examination, areas in need of development will be revealed. From this can be created short-term and long-term plans for development as a leader. Highlight or underline parts of the following chart that you think will help you formulate such a plan.

Roles and Functions of Transforming Leadership

Role	Function
Communicator	<p>Get to know others and establish credibility</p> <p>Manage your personal image</p> <p>Communicate corporate image</p> <p>Understand others accurately</p> <p>Communicate caring and concern</p> <p>Recognize achievements of others</p> <p>Suspend judgments and emotions</p> <p>Resolve interpersonal conflicts</p> <p>Build effective, enjoyable relationships</p> <p>Build self-worth in others</p> <p>Empower and encourage others</p> <p>Confront others effectively</p>
Counselor/Coach/Mentor	<p>Help others define and own their problems and opportunities</p> <p>Help others to set achievable goals</p> <p>Help others explore and evaluate plans</p> <p>Motivate others to act</p> <p>Sustain and support others to achieve plans</p> <p>Reward and recognize achievement</p> <p>Confront resistant or “stuck” people</p> <p>Make referrals effectively</p> <p>Share your experience at the right time</p> <p>Encourage people to reach goals</p> <p>Mentor people to prepare for new roles</p> <p>Evaluate performance and give feedback</p>
Consultant	<p>Act as public relations and optimization advisor for the organization</p> <p>Apply the consulting process</p> <p>Develop corporate values and culture</p> <p>Delegate to achieve goals through others</p> <p>Legitimize your leadership</p> <p>Facilitate group and team development</p> <p>Clarify norms, values, and beliefs</p> <p>Communicate vision and purpose</p> <p>Assess organizational needs and problems</p> <p>Deal with distracting or underperforming employees</p> <p>Research and report important information</p> <p>Plan and coordinate human resource development and hiring</p>

A Portrait of the Transforming Leader

General Characteristics

The Transforming Leader is critically involved in envisioning, communicating, and creating an improved future for self, other people, and the group or organization. The Transforming Leader has clear personal beliefs. Without clarity about his or her own stance on life's major questions, an individual can be easily swayed by situations—which are becoming increasingly complex, unstable, polarized, and unpredictable.

The Transforming Leader is able to arouse a sense of excitement about the significance of the organization's contribution to society or a team's contribution to the organization.

The Transforming Leader also has a well-defined sense of mission, purpose, values, goals, and strategies, based upon a deep understanding of the people and the overarching aims being served and a clear understanding of the cultural, political, and economic environment surrounding the change endeavor being attempted. The Transforming Leader is able to arouse a sense of excitement about the significance of the organization's contribution to society or a team's contribution to the organization. The Transforming Leader has working knowledge and skills in the areas of human development, organizational development, and interpersonal communication, counseling, consulting, and problem-management/solving.

Transforming Leaders Need Exceptional Physical, Mental, and Emotional Health

Being in a leadership position often requires an ability to deal with stress and difficult situations with some degree of resilience. The fitness required to sustain higher levels of energy and performance is described and prescribed very clearly by Schafer (1987). The energy to achieve higher levels of performance must also come from the nutrition program appropriate for each individual.

A wide range of books on fitness and nutrition is available to assist in developing an understanding in these two key areas. It can, however, be useful if, near the beginning of this book, the reader completes some assessments. If you wish to do some fast but comprehensive assessments to get a base-line of information on your current level of functioning and gain information to optimize your health and wellness, go to the following Websites.

- Complete the *Stress Indicator and Health Planner* (fee-based), a fast and useful tool to get the big picture and identify key areas that can optimize your health. You must register at the site first, then do the assessment. You can register at:
<http://www.CRGLeader.com/everyofficer>.
- <http://www.nlm.nih.gov/medlineplus/depression.html> if you suspect you are experiencing depression (or other medical problems) and want to assess whether this is likely the case so you can seek early treatment (important for recovery)

- <http://www.QuackWatch.com> to search for whether or not something is likely a scam or a fad or whether it is based in science
- For the latest research on nutrition sign up for the daily newsletter report on the latest research breakthroughs: www.NutritionFacts.org

These reputable sites have been around for a long time; one or more of the authors have verified them as reliable and informative.

Refined Self-Awareness and a Broad Base of Self-Development

The Transforming Leader:

- has a refined self-awareness;
- can acknowledge and compensate for limitations;
- has the ability to use self as an instrument for change;
- has developed good interpersonal communication skills, counseling/coaching skills, and problem-solving and problem-management skills; team-leadership skills, organization development, and consultative skills; and
- has an optimistic attitude.

The Transforming Leader takes initiative in transforming all parts of an organization where there is opportunity for positive change. Ideally, the person who has been placed “in charge” of any family, group, department, or organization would facilitate development at the personal, interpersonal, and organizational levels. All too often, traditional leaders attempt only one level of impact or, at best, two. They fail to comprehend the breadth of influence they could have (Egan, 1985).

Consciousness: Openness to New Perspectives

The Transforming Leader values increasing consciousness of self and others without overloading awareness with clutter and detail. It is important to have an ability to see patterns in the past and project them into the future to sense new directions. The Transforming Leader understands that a personal commitment to become a more conscious, clear-minded, and intentional person, results in important personal growth that attracts others and wins their trust. Some call this personal presence: presence of mind, alertness, or expanded awareness (beyond the average). Some people call this a good part of command presence.

Caring: The Critical Factor

Most of all, the Transforming Leader cares deeply about self and others and is committed to the higher goals of both developing the inner lives and affirming the worth of individuals. The Transforming Leader is committed to developing positive organizational climates that result in high morale and increased quality and productivity.

For example, one police chief was exceptional in his commitment to caring for people. He went to great lengths, quite naturally, to show concern about the stresses and tragedies of others; he listened compassionately and made judgment merciful whenever possible. He thought the best of his members until they proved him wrong over a period of time and would support them even when it was not in his political interests to do so (in the case of many public complaints against officers).

The Transforming Leader knows that increased morale in general means increased productivity and that, to an extent, increasing productivity and the quality of services can boost morale. Facilitating the personal development of people as individuals adds depth and character to an organization over the long term; workers are more likely to have a positive self-image, which often results in improved performance in delivering quality services.

The Transforming Leader builds a learning organization capable of continuous improvement. Bennis (1985) quotes Irwin Federman, president and CEO of Monolithic Memories:

If you think about it, people love others not for who they are, but for how they make others feel. We willingly follow others for much the same reason.

If you think about it, people love others not for who they are, but for how they make others feel. We willingly follow others for much the same reason. It makes us feel good to do so. Now, we also follow platoon sergeants, self-centered geniuses, demanding spouses, bosses of various persuasions, and others, as well, for a variety of reasons. But none of those reasons involves that person's leadership qualities. To willingly accept the direction of another individual, it must feel good to do so. This business of making another person feel good in the unspectacular course of his daily comings and goings is, in my view, the very essence of leadership.

Caring about the well-being and development of others is a quality that is necessary. When this quality is absent from an otherwise good leader, most of us feel a sense of having been deceived or at least let down or sadly disappointed, as exemplified in the extreme by such leaders as Napoleon, Hitler, and Nixon. The tragic flaws of deceptiveness, lovelessness, or incompetence are, to most of us, unacceptable, no matter what the promises or other accomplishments of a leader are.

The Secret of Leadership Success

Kouzes and Posner (1987) claim that love is the secret of leadership success. They define love as encouragement, loyalty, teamwork, commitment, and respect for the dignity and worth of others; they claim it is an affair of the heart, not of the head. If any one thing will cause people to be distrustful of a leader, it is when they sense the leader does not care.

Love is the secret of leadership success.

The Leadership Challenge,
Jim Kouzes and Barry
Posner

Kouzes and Posner write, "when we encourage others, we give them heart. And when we give heart to others, we give love. (*The Leadership Challenge*, 270).

To further explain what is meant by love, an ancient wisdom on this point is worthy of quotation:

Love never gives up. Love cares more for others than for self. Love doesn't want what it doesn't have. Love doesn't strut; doesn't have a swelled head; doesn't force itself on others; isn't always "me first"; doesn't fly off the handle; doesn't keep score of the wrongs of others; doesn't revel when others grovel; takes pleasure in the flowering of truth; puts up with anything; trusts God always; always looks for the best; never looks back; but keeps going to the end" (*The Message*, 424–425).

That quote summarizes some of the underlying assumptions of this book, and the following chapter will introduce you to the foundational Skills of Personal Mastery, which undergird your internal clarity and strength of character.

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3 The Skills of Personal Mastery

Introduction

If I have all the leadership skills, but fail to build the foundation of my life on the skills of personal mastery, I will live a stressed, shaky, and regretful life. But if I develop these as the foundation of my life and work, I can have health, balance, and can lead with hope.

Trainee,
Justice Institute Police Academy

Peter Senge refers to Personal Mastery as “the discipline of continually clarifying and deepening our personal vision, of focusing our energies, of developing patience, and of seeing reality objectively.” This chapter provides a more in-depth understanding of the skills you will need to have greater positive impact as a leader while in the process of developing yourself and others. The Transforming Leadership skills discussed in this chapter include the following.

TL Skill #1	Grounding	Page 92
TL Skill #2	Centering	Page 93
TL Skill #3	Beliefs Clarification	Page 95
TL Skill #4	Purpose and Vision Specification	Page 101
TL Skill #5	Values Identification	Page 103
TL Skill #6	Life Planning	Page 105
TL Skill #7	Education Goal-Setting	Page 105
TL Skill #8	Career Goal-Setting	Page 107
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TL Skill #11	Health Management	Page 110
TL Skill #12	Positive Mental Attitude	Page 111

This chapter assists in the evaluation of whether or not a particular professional development opportunity fits individual learning needs in the foundational area of personal and professional development.

Assessment Tools Can Provide In-Depth Insight

Nothing so conclusively proves a man's ability to lead others as what he does from day to day to lead himself.

A good way to have this chapter hit home is to complete self-assessments. They can be completed in some of the skill areas listed above by going to secure Websites to access the following assessment, learning, and planning tools.

Thomas J. Watson

For Beliefs, Purpose, and Vision clarification, complete the Deep Structure Strategic Planning Process (free from Dr. Anderson online) at [this link^{xxx}](#).

For Values clarification, complete the Values Preference Indicator online (fee-based).

<http://www.CRGLeader.com/everyofficer>

For Time Management, www.Goals.com treats goals like projects to be tracked (one month free trial).

For Stress and Health Management, complete the online Stress Indicator and Health Planner.

<http://www.CRGLeader.com/everyofficer>

For a Mental Attitude assessment, complete the General Well-Being Assessment free.

<https://www.healthstatus.com/assessments.html>

The Need for Identity, Clarity of Beliefs, Vision, and Purpose in the Face of Chaotic Change

In this new millennium, we face changes of a magnitude never faced by people before. In the next 10 years, nearly 1.5 billion babies will be born. The world's population will be tilted toward the Pacific Rim, with 60 percent of it living within 2000 miles of Singapore. Vast cities, with all their problems, will prevail on the planet. Increasing numbers of megacities will be populated with more than 10 million people each.

The health of our environment is seriously threatened. Disease, wars, and crime are on the increase globally. Information is exploding at a rate faster than the average person's ability to process and use it; computer crime is the new threat upon the horizon; it is, in fact, already visiting us. In terms of dollars, the cost of crime for some industrialized nations easily exceeds the entire economic wealth of emerging nations. National economies are rising and falling with international consequences. The whole environment is rapidly transforming, but no one is certain where it will end up.

Technological Changes Overshadow Our Ability to Manage Their Effects on People

We have created a technologically advanced environment that outstrips our ability to integrate and manage it. In addition, the knowledge and skills on the people side of managing change are falling behind the demands to cope with the new technologies. "Inner" technologies

are lagging behind the demands of “outer” technologies. Many fear we cannot keep up with what we are creating. “Future management” must become a new skill where leaders are able to maximize the integration of social and technical systems through the understanding of such concepts as the socio-technical systems theory. Stress management must become the new lifestyle.

The Competencies Needed to Adapt to Profound Change and Help Others Adapt

The competencies needed to be an effective justice system, security, or emergency services leader in the face of this rate of change are many and complex, but it is possible to learn them. Are the police, fire, corrections, courts, security, and emergency medical services executives and managers ready to lead the way? Do they have the inner clarity and grounding to avoid losing their balance as the top spins faster and faster? And the most important question for the longer term: Can they prepare younger leaders to become ready to assume the helm in the decades to come?

Of the areas of awareness and skill on which this book focuses, the most difficult are those of beliefs and values. Many of the people in university and college classes have given up, to some extent, on the hope of achieving inner clarity and resolution regarding their personal beliefs or life stance. They have become somewhat numbed to the challenge of tackling life’s most difficult questions. Many have even consciously resorted to a kind of waning scientific materialism they describe as lacking in vitality and inspiration. Srivastva and Cooperider (1990) have so aptly described the precipice near which so many people stand.

While the voices sometimes clash and the arguments reel in complexity, there is one powerful consensus that reverberates throughout: The scientific materialism that so confidently dominated the post-industrial era and so thoroughly insinuated itself into virtually every aspect of institutional life is now a dying orthodoxy. While there is little agreement as to exactly what we are moving toward, there is no question that the shift now taking place in society’s dominant metaphysic —Who are we? What kind of universe are we in? What is ultimately important? —will have a transforming effect on all our institutions.

With this ominous prospect of huge paradigm shifts in the minds and belief positions of large numbers of people, we turn to the process of self-assessment that will trigger a beginning of a new, careful, and conscious clarification within.

This book provides an opportunity to begin a search for clarity and resolution. For those who have not consciously begun their search, some structure and process provided in the pages to follow will assist in that search. Those who have already intentionally begun their search process can more easily monitor their clarity and progress. To function as ethical people of justice in an unjust world, there must be clarity and resolve about what is believed to be true, good, right, wrong. The foundation of justice is clear beliefs and the ethical bringing forward of these beliefs.

Values are perhaps the next most perplexing area of life to clarify and resolve so that a sense of inner peace and integrity is in place within each person.

Values are perhaps the next most perplexing area of life to clarify and resolve so that a sense of inner peace and integrity is in place within each person. Values are the standards that leaders apply in determining right from wrong and good from evil. Values are the standards by which leaders satisfy themselves about their own behavior. Values guide decision-making and ultimately the leader's vision of the preferred future. How can a person move ahead in teams in emergency response situations, in communities, in families? Since there are so many criteria for judging which values are more correct or appropriate, which criteria will be trusted?

Should we trust our inner sense of what the priorities should be? Should evidence from history regarding the consequences of implementing certain values be trusted? Are there any absolute values? Or should values be adjusted to fit each situation? Or are some values situational in nature and others absolute? These questions and others are very difficult for most people to answer to their own satisfaction. Even so, the need for clarification and regeneration of values is greatly needed. As pointed out by Gardner (1990):

The truth is that disintegration of the value framework is always going on—but so are regenerative processes. Some people see little hope that such processes can be effective, believing that we have lost the capacity to generate a new vision. A still gloomier view is that we may have lost the capacity to tolerate a new vision. The debunking reflex is powerful today. We are sick of past hypocrisies. We have seen the fine words of morality used as a screen for greed, for bigotry, for power-seeking. Granted. But to let that estrange us from all attempts to regenerate the moral framework would be petulant and self-defeating.

Creating value systems is something that the human species does. "It's our thing," as the recently popular saying goes, and without that irrepressible impulse, civilization would not have survived. Destroy every vestige of morality, demolish every community, level the temples of justice, erase even the memory of custom, and one would see—during chaos, savagery, and pillage—an awesome sight: The sight of men and women, bereft of all guiding memory, beginning to forge anew the rudiments of order and justice and law, acting out of the mysterious community-building impulse of the species.

If it is true that order, peace, and benevolent control are sought by instinct—and if there is agreement with John Gardner that it is—then it is essential to get on with the task of clarification and to teach others to do the same.

Inner Skills of Self-Mastery for the Transforming Leader

TL Skill #1. The Skill of Grounding: Focusing Awareness in the Present

This awareness skill of grounding involves taking responsibility for placing your own attention in each present moment, not in memory about past events or in fantasy about future

When attention is focused in the “here and now,” an individual is grounded in the present, fully available for interaction with self, the environment, and people in each passing moment.

events. When attention is focused in the “here and now,” an individual is grounded in the present, fully available for interaction with self, the environment, and people in each passing moment. Individuals who are grounded have more personal presence and people who are in fantasy or memory seem to be preoccupied somewhere else.

Example of Grounding

The person who has done a great deal of drug abuse in his lifetime is often inwardly distracted, lacking in memory power. The result is that those people become socially dulled.

They are so wrapped up in themselves and their nervous system is so stressed that it is very

difficult for them to be grounded in the present with others. Inmates in prisons are often in a similar state because of lifelong stress accumulation. The same has been observed with workaholic executives who just cannot inwardly get their attention focused to “be here, now.” There are those, however, who have decided to be grounded and live a life that is grounded. Their “command presence” is visually and

psychologically evident. Consider the senior officer who, when he walks into the room, is so conscious that others come to attention more because of the intensity of the officer’s consciousness than because of his senior ranking position.

*Knowing others is intelligence;
knowing yourself is true
wisdom. Mastering others is
strength; mastering yourself is
true power.*

Lao Tzu

Developing the Skill of Grounding

This skill involves a commitment and practice of inner wakefulness and the commitment to strengthen it. It is the foundation of all other skills, for if a person is psychologically unavailable to present events, interactions with self and others will be interrupted or blocked. In professions such as police, fire, and security, such lack of grounding can be dangerous.

The development of this skill requires a willingness to work toward continually being more vigilant, wakeful, sober, on the watch, alert, in the present, etc. As a person practices this self-remembering training, it becomes more enjoyable, more natural. It becomes the foundation of all other strength. This kind of awareness comes with rigorous training in sports or the martial arts, intellectual development, determination, and raw commitment.

TL Skill #2. The Skill of Centering: Including Self in the Context of Events

Centering is an important prerequisite for being a conscious, alert, and intentional person, especially when exercising leadership. It is an awareness skill that enables an individual to intentionally be conscious of his or her own presence as a person with his or her own specific beliefs, biases, creative ideas, intuitions, revelations, emotions, physical experiences, and judgments in each moment. This awareness level is distinct from the awareness of external events. This deeper self-awareness can develop more quickly through self-conscious effort and through the practice of being very still (deep relaxation, meditation, or prayer states). Centering

is the opposite of selfishness because this part of a person allows greater awareness of the self, thus allowing the leader to be more receptive, sensitive, and giving to others.

Examples

The following story was told by one of the authors.

I recall the example of most of my classmates in my first public speaking class in university. Most of us forgot what we wanted to say and became overly “self” conscious to the extent we lost the capacity to inwardly keep track of the task at hand, which was to focus the self and speak clearly and articulately. How embarrassing it was to be unable to think and speak clearly in front of others. Some people feel this way all the time. They are so shaky in the self-worth department that their sense of being connected to themselves is blown—they become “beside” themselves and lose control. In contrast, there are those who are smooth-performing speakers, musicians, or athletes. They are on dead-center with their inner strengths and talents and have the practiced confidence that enables them to bring forward their message, music, or athletic performance with ease and grace.

This inner strength in the context of events was clearly demonstrated by individuals after drunken revelry turned into a full-scale riot in a large Canadian city. Individuals in the fire, medical, and police services rose to the occasion to deliver services under unimaginable conditions. For some, this was the first time in their careers that they had come under physical attack. But despite the justifiable fear (that many readily acknowledged in later interviews), individuals recognized they had a task to perform. Many were ill-equipped; the communications system and command structure had collapsed. Many were separated from their comrades. Rank or position within the service became irrelevant. Those who did not hold supervisory rank became supervisors; more important, they became leaders. They knew what had to be done and they took control. Their inner strength and confidence surfaced as they rallied those around them to deliver the emergency services they were trained to provide.

Developing the Skill of Centering

The capacity to be centered and maintain your center under stress comes from being still in mind and body. It comes from practicing being quiet for periods of time, from 20 minutes to an hour. Some people call this process meditation. It also comes from having an unbroken and clear awareness of your own feelings, thoughts, intuitions, values, beliefs, and priorities. When a person is clear and focused, he or she is in the eye of the storm; it is difficult to knock a strongly centered person off-center. Centered individuals are able to exude a command presence based on a deep inner sense of calm and stability.

TL Skill #3. The Skill of Beliefs Clarification and Resolution: Taking a Stance on Life's Basic Issues

This awareness skill area is the longest one because of its importance; it is also the most difficult to explain because of its complexity. Our belief system influences our interpretation of anything experienced by our senses. It is through this interpretation that behavioral intention is formed. That is, what action do we intend to take (or not take) as a response to the experience?

This area of skill or wisdom in discerning the nature of things is the primary cornerstone for the development of the other skills to come. If, when a person looks inside, there is fog or mush, that condition is too vague or soft a foundation on which to build. We all could benefit from further clarification or a deepening of understanding of our operating assumptions about life. This skill focus helps an individual move ahead toward enhanced clarity of beliefs that are defensible, at least in one's own mind.

Science defines and explains the “what and how” of observable life and, in the last 100 years, has delved more into the powers of the previously unseen forces—radio, electronic, and atomic. Beliefs—philosophy and religion—deal with the questions of “who and why.” These questions are much more difficult to answer, but they are, at the same time, more essential to integrity because the answers given to key questions determine our whole approach to our lives, to others, and to life itself.

What is Beliefs Clarity?

This awareness skill is developed by examining carefully the main questions of existence and, over time, searching and discovering workable answers to them and validating or invalidating their authenticity or “truth.” If, however, there is to be any confidence in the answers, they must have their validation in at least some of the following ways of knowing (epistemology) through:

- empirical investigation (science);
- historical evidence;
- personal experience (phenomenology);
- archeology;
- intuition (psychological);
- revelation (spiritual), etc.

Otherwise there is little confidence that a person's own assumptions about the nature of life are grounded in any kind of reality that is substantial and therefore believable. The ability to validate our positions at all the levels listed above also may be of critical importance. If there is historical evidence to support the validity of our belief position, but no other evidence (or conflicting evidence), there should be suspicion. Perhaps beliefs should be true at every level or they are only partly true?

For example, most people in the Free World believe absolutely in the sanctity of life, that murder is wrong, and that the only justification for the use of force that may kill another person is to stop unjust, immoral, or illegal killing (but only with the appropriate and necessary amount of police, or military use of force). Evidence that murder for self-gain has negative consequences can be supported by historical documentation, empirical investigation, archeological findings, intuition, and possibly revelation (depending upon the belief system of the investigator).

Therefore, for the sake of discussion, it is offered that premeditated murder of an innocent child, for example, is truly wrong because under no circumstances does it have positive consequences that can be validated in the long term—it has only negative consequences. Some questions are not so easily answered, however, as we shall see.

There are those who maintain that addressing the most difficult of life's "belief" questions is irrelevant to a meaningful existence in the here and now and that mere values and goals are adequate for living. Values and goals are very important, but the presumption that it is irrational for us to expect to clarify metaphysical issues and arrive at resolute beliefs does nothing for those of us who want to grasp some further essence of life, to go beyond what is visible, to comprehend life in new and deeper ways.

The Personal Nature of Beliefs Clarity

Beliefs are by their nature intensely personal. They are an individual's operating assumptions about life, love, safety, happiness, leadership, management, etc. If we want to know people intimately, we might first ask what they believe to be most real, true, good, unreal, false, or bad. This begins to portray a picture of their position on some of the basic issues of life, which are really the major questions in life. In an annual survey (over eight years) of college and university students, some of "life's most unanswered problem questions" were identified in their order of estimated difficulty to answer. These questions included the following.

1. What criteria do I use to discern what is true from what is not true, good from bad, real from unreal?
2. How can I know whether these criteria are reliable and true and what are the sources of these criteria?
3. What should I do with my life: A purpose for living, goals to accomplish, a career or life calling?
4. What is truth? What is my definition of truth, where did I get it, and how do I know it is true?
5. What is the nature of human beings? Good? Evil? Neutral? Where did I get my belief? How did this human nature I believe in get to be the way it is: Creation, the environment, the "fall into original sin," conditioning, parents, all the above, etc.?
6. Is there a supreme being or ultimate cause or did everything just evolve from nothing—and how do I know?

7. Where did matter come from? Creation by some conscious designer? Statistical happenstance, evolution, intelligent design?
8. Is everything absurd or is there underlying and inherent purpose in life and in the universe?
9. Are there any absolutes (truths that are immovable) or is reality relative to each person's perspective?
10. What is the source(s) or cause(s) of negativity (evil) and positivity (good) in life? Are there many sources? One? None?
11. Is there life after death? If so, what kind, where, and with whom? If not, what happens and how do I know this?
12. Is it possible to communicate with a higher being(s)? If so, how? If not, what difference does that make in my life?
13. What should I value? What is most important in life and what are my priorities?
14. With whom should I join up in life: to marry, live, work, etc.? What criteria should I use to choose the people with whom I ally myself?
15. Where (geographically) on this planet do I want to live and why?
16. How do I prepare myself to fulfill my purpose and goals?
17. How do I know if I am doing OK in life?

These questions are examples of the many critical questions people ask, attempt to answer, or attempt to avoid answering. The fact that different people come up with clashing answers to these questions accounts for much of the discord, misunderstanding, and conflict in relationships, in organizations, and even between and among nations. It often represents the diversity of assumptions.

Why Some People Give Up on Gaining Clarity of Beliefs

For most people, getting to the bottom of the above kinds of questions is a meaningful task (or quest, depending upon their view of the issue). When over 600 university students were asked how many of them had generally either given up on answering these kinds of questions or found them to be irrelevant, approximately 32 percent said Yes. These were the reasons they gave for giving up trying to answer the difficult questions of life.

1. Confusion or a feeling of being overwhelmed by the complexity of both the questions and the diversity of answers
2. Lack of satisfying criteria for validating what is true or good
3. Lack of interest in the issue of clarification
4. Lack of understanding of the benefits of being more clear
5. Lack of information and knowledge about alternatives
6. Laziness or fear

Only 32 percent of the 600 claimed to have satisfying answers to these and other more difficult-to-answer questions. They seemed to have a clear frame of reference, stance, faith, or belief about the questions of death, a supreme being, the nature of humans, why we are here, who we are, and where we are going. Some of these students admitted that their beliefs were not really examined carefully but were simply accepted because of their family and cultural upbringing. Approximately 6 percent decided not to respond to the questions put to them. While we understand that this issue is perhaps the most difficult one to resolve and have “final” clarity about, we want to emphasize that it is so important because deciding whether to shoot someone, for example, may have everything to do with whether you believe human life is inherently of value, or not. If you doubt whether people have value, or are vague about it, you may likely have somewhat more of a “hair trigger.” If you believe that all people are precious and are the daughters and sons of valuable mothers, you will be more hesitant (sometimes tragically) to shoot. Therefore, beliefs and assumptions drive our actions...that is why it is important to know where we stand...so we don’t over- or under-react in holy shit situations.

The Advantage of Beliefs Clarity

It would seem in one way that those who have more clarity of beliefs enjoy an advantage over those who have not dealt with these questions. There is research—a good starting place is David Larson’s article in the *American Journal of Psychiatry* [1992] that summarizes 12 years of psychiatric literature—to suggest that people with clear belief systems have less anxiety, more success, lower divorce rates, and lower stress-related illness rates.

In a state of conscious awareness, they act on specific assumptions and are more likely aware of the consequences of these actions based on each specific belief position. This enables them to gain feedback from their environments about the validity and workability of their assumptions. Contrast this clarity of mind with the person who is unsure and unresolved or who wavers from situation to situation and gets mixed feedback.

Although the argument of nature versus nurture rages on, it can be said with a degree of certainty that the environment in which a person is raised contributes greatly to his or her belief systems. There are those who accept their early environment and its associated belief system as reality without ever opening their minds to new possibilities. As offered by Socrates, perhaps to some degree, “The unexamined life is not worth living.”

It would appear from the informal university study that the issue of beliefs is highly charged and intensely personal to most people...and others have given up every believing in anything. When challenged to rate the importance of this issue of beliefs clarity on a scale of 1 to 10, the average person gave the issue an 8.6 out of 10 (with a range of 4 to 10).

Steps in the Process of Clarification of Your Belief Stance

The process of clarifying beliefs is very complex and often happens unintentionally because of significant events in a person's life. Choosing to embark on a conscious search, however, involves a series of steps. By following these steps, a person's own belief stance will become clearer to him or her as time passes. The steps for clarifying beliefs can be done alone or used to help an individual or group of people gain resolution by coaching them through the following steps.

1. As best you can, specify in writing your present answers to life's major questions, which were outlined above, or attempt to answer your own problem questions.
2. Search out the source of your beliefs and write what you can remember about these sources for later comparison.
3. Examine your criteria for accepting these beliefs as true; write the various validations for the beliefs that you accept.
4. Write a clear and concise position paper about your stance on life's major questions and issues. For example, Reality is only a perception.
5. Read this paper over once a week while you consistently attempt to take on this position in a real way, living it out daily as congruently as you are able.
6. Review your position statements every three to six months; examine how your position helps you deal with problems or better appreciate the joys of life.
7. Note any holes or inconsistencies in your belief position that you think may be invalid, incomplete, or problematic.
8. Examine other differing belief positions (ones you think are incomplete or false, if any) that validate for you how true you believe your position is. Or, note how there are parts of other belief positions that seem to have truth in them on the premise that "truth is truth, wherever it is found."

The Downside of Failing to Clarify Beliefs

People who avoid this whole issue of belief clarification or who give up on its resolution perhaps are less deeply rooted in a life position. They may be more easily influenced to move in several directions, depending upon which way a personal, social, political, or economic wind is blowing at the time. They often claim that flexible tendency to be a strength; they are open-minded and willing to change with the times. They also often say that they have little inner peace, that decision-making is difficult without a clear reference point, and that their relationships suffer because they often clash with individuals who have clear beliefs and don't really align well with people who do not have clear assumptions.

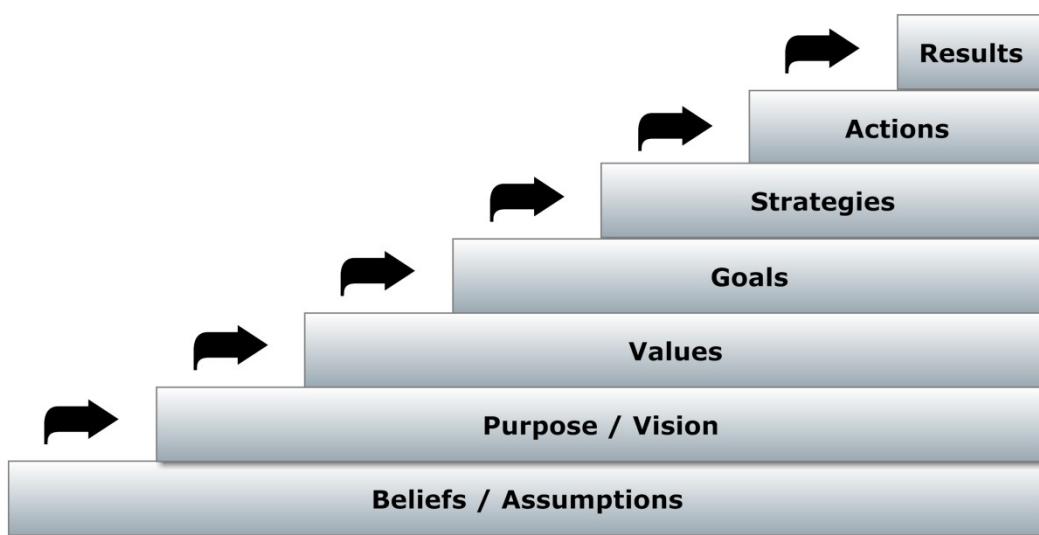
Those who have a metaphysical understanding of and an orientation to life (answers to the Why questions) have a distinct advantage, even if their orientation ultimately may be incorrect. They are more solid, act more consistently, can get feedback from the environment as to the validity and workability of their assumptions (because they have a position as a reference point), and

many times are better able to understand the position of others—a tolerance skill important when leading people. Some people who are clear are not tolerant, however.

Some people are narrow, intolerant, must be right about everything, are not very compassionate of others' struggles for clarity, and want others to accept their truth without question. But not all people who claim to be certain are fundamentalist fanatics who would negatively judge a person for not being clear or for not wanting to agree with their positions. Some really are clear, truly peaceful, kind, patient, and caring people who just quietly "know." You are likely familiar with at least a few people like that. Ask them what they believe and listen to their stories.

Beliefs form the solid foundation of a clear purpose in life; a clear set of values is a structure upon which to build goals, strategies, and actions. With only values to live by, the "why" of life is not addressed, explored, or resolved in the least. Beliefs address the "why" and "what" questions of life directly. The hierarchical relationship between and among beliefs, purpose, values, goals, strategies, and actions is illustrated as follows.

Illustration of the Important Hierarchical Relationship



When people can share some basic beliefs, they are more likely to join together to create something productive. This is true for marriage partners or any other type of endeavor in business, health, education, community development, and the military or human services—where team effort is required.

Furthermore, if there is comprehension of others' beliefs, understanding of why they have given their hearts to those beliefs, why they feel they need them, and why they need to keep their own beliefs, greater understanding is more likely. With this understanding comes even more tolerance.

Last, beliefs are the cornerstones upon which all stable ethics rest. Ethics are those codes to which an individual offers allegiance. Ethics are also the manifestation of values. In a professional association with others, we hold one another accountable to ethical commitments made through oaths of office or codes of conduct.

TL Skill #4. The Skill of Specifying Your Personal Purpose and Vision: A Critical Life Skill

A purpose is a reason to do anything, a reason to get up in the morning. In business, the question is asked, “What is it that we do? Why do we exist?”

A vision is a clear picture of a preferred future that depicts the accomplishment of the purpose. As a person gains a greater sense of clarity about what he or she believes or assumes to be real and true, it is easier to move ahead to specify a keener sense of purpose and vision in a life that is in harmony with individual beliefs.

A vision is a clear picture of a preferred future that depicts the accomplishment of the purpose.

If beliefs are fuzzy or unresolved, there will be difficulty in specifying a definite purpose or vision. A desire for clarification and a belief that it is possible are good requisites for making progress in this area.

Finding or developing a clear sense of personal purpose and vision is not an easy task. As a leader, it is imperative to understand the importance of purpose and vision to better understand it (or the lack of it) in others. Understanding the importance of purpose and vision in yourself will help you recognize that the absence or fuzziness of the preferred future in others may be the forerunner of problems that may challenge the leader.

For example, a young man with strong spiritual beliefs had become a police officer. He did so partly because of external pressures from family and friends who felt his honest and caring way would make him a good police officer. His lack of clarity in his vision allowed him to be convinced this career choice was best for him.

As soon as his practical training began, it was evident to classmates and staff that there was a problem. His “purpose of choice” was to assist, support, love, and provide guidance to those in need. He found his purpose was clashing with the role of a police officer, which often required impartiality, non-emotional responses, and even physical confrontation. This impacted his ability to do what was required and his relationship with peers. His career was short-lived; he found himself in an irreconcilable moral dilemma. He agreed that policing was not consistent with his values-based vision of how his life was to be lived. He resigned.

The French phrase that roughly translates as “purpose” is *raison d'être*. Specifically, it is reason for being. Why should a person bother to *be* at all? To answer that question is to have a burning sense of mission or purpose that evokes passion. This leads to high internal motivation. The

individual is then able to better clarify and set priorities and specify challenging goals that match his or her own strengths and abilities.

Before you attempt to write your own purpose statement, the following statement is provided as an example.

My purpose in life is to be a whole person while I support and develop leaders who can build other leaders, resulting in the development of teams and organizations that make positive impacts on communities.

So, I am an author, encourager, facilitator, helper, knowledge resource, consultant, and supporter of other leaders (or leaders-to-be) whose purpose is to impact human and organizational development for positive community ends. I include my family in this purpose; my two sons are leaders in some ways and becoming better at it.

My identity is steeped in this purpose. I plan my days around this purpose, set my priorities and goals around this purpose, and encourage and assist “willing others” to do the same. I have also learned to have fun and enjoy each moment of life—thanks to my precious wife. During all their goal-oriented endeavoring, that is something many people forget to do. I promote this foundational lesson in life—enjoy each moment!

I feel fulfilled with this purpose and get a charge of excitement when I see it realized. It is highly motivating to me.

You may wish to write your own purpose statement in the space provided below.

Your First Draft: Personal Purpose Statement

My purpose in life is to . . .

A personal vision statement is one that captures the essence of your preferred future. It captures what your ideal life will look like in the future, who you will be, what career you will have, with whom you will be/live, where you will live and work, and where your future life will ultimately lead. Review and revise this statement as additional clarity emerges. Some people put their purpose statement on their desk or mirror in their bathrooms so they can remain focused on why they decided to get up in the morning.

Many people find it difficult to formulate such a statement of a vision; they are so used to being realistic and practical that they cannot dream dreams and stretch their hopes into the nearly impossible reaches of the future.

It is true that a person cannot know if his or her vision of a preferred future will come true. But if there is no vision, there will certainly be no plan to reach it. Last, it is also true that a portion of your vision of a preferred future will come true to some extent because of a conscious movement in that direction.

An example of a “vivid” vision statement reads as follows.

In five years I will be a senior consultant to world leaders in the back rooms of the palaces of the world, comforting and coaching them to make critical decisions carefully, discerningly, and thoroughly, in the most complex and trying of times. I will live with my wife in a smaller two-bedroom flat that has an ocean view; we will travel abroad several times a year to enjoy the world and help key leaders. I will be retired and supporting and coaching leaders around the world from my office. I will be writing very focused books and developing a website that will transform people’s lives with hope and inspiration . . . that they may see their true worth and better discern the source and purposes of their lives.

Your First Draft: Personal Vivid Vision Statement

In five and 10 years, my spiritual, career, financial, interpersonal, health, and lifestyle will look like . . .

Clarifying and identifying values...is a somewhat challenging matter of prioritizing various things in our lives, such as spirituality, family, career, education, money, geographic location, etc.

The clearer the purpose, the greater ease there is in identifying what is important. Confusion rules when the sense of purpose is vague and a person’s vision is unclear. Clarifying and identifying values (personally important or of high priority) is a somewhat challenging matter of prioritizing various things in our lives, such as spirituality, family, career, education, money, geographic location, etc. When we know what is most important—in relation to other values—it becomes easier to set goals. This creation of a scale of importance is known as a personal values hierarchy.

An example of an organization where people often have conflicting values is a prison. In one prison, not only were the inmates pitted against one another with conflicting values, the staff were, as well. Some staff valued respecting and trying to rehabilitate inmates; other staff wanted nothing to do with the inmates. Some staff did not care one way or the other, but just wanted to collect their paycheck and get their retirement at the end of the road. This conflict of values is like a house divided, unable to stand the stresses and strains of longer-term oppression from some of the inmates.

My values, our values, aren't about pointing fingers. They are about offering a helping hand.

Kathleen Blanco

The negativity created by this values conflict was triggered into chaos one Christmas Eve when a corrections manager ordered a cell search, found alcohol fruit-juice brew in several cells, and confiscated it. That precipitated a million-dollar riot. The moral of this story...don't confiscate inmates' booze on Christmas Eve.

Those who had clear values, no matter what they were, believed they were right—no matter what happened. Those who had clear and positive values chose to stay on after the riot and help rebuild a better culture where both the keeper and the kept must live together, hopefully in greater peace.

Staff who suffered the greatest stress were those caught in between—with little or no clarity of their values. Because they stood for nothing, they had no reason to stay in such a high-stress environment; many of them chose to leave their jobs.

Never let your sense of morals get in the way of doing what's right.

Isaac Asimov

Another example relates to values outside the workplace. How do individuals establish what has value in their life and how to determine what is truly important? After becoming a single parent, a police officer quickly had to establish a new relationship with his young children. Through counseling he learned to connect with the children and establish the communication needed to work on the healing process.

During one of his numerous discussions with the children, he was shocked when one of them said, "We never saw you." They went on to tell him about school events and baseball games he had missed and school plays where they looked into the audience of dutiful parents to find his face missing. Later, when he had time to reflect, he knew they were right. His personal values hierarchy was upside down. He had set lofty career goals at the expense of family goals.

Promotion in the police culture required higher education and thus off-duty hours in class away from home. It required working extra hours (often without compensation) and placing career first, both in word and deed. His priorities, although ostensibly noble, had broken the bond with his wife and had cost him years of lost memories with his children.

As a person gains clarity of purpose and identifies his or her values in order of priority, it becomes easier to clearly set motivating goals in specific areas of life, development, and career. Effective goals are based upon clear beliefs and assumptions, a deep sense of purpose, and clear values. Therefore, goals must be desirable; concretely defined; and realistically achievable within the time available; measurable, so you know when they have been reached, owned, or chosen by an individual instead of imposed by others; and celebrated when achieved.

The next three skills (6, 7, and 8) focus on a pro-active approach to these key areas: life, educational and career planning.

TL Skill #6. The Rare Skill of Life Planning to Provide Motivation and Balance

Someone said we spend more time planning our vacations than we do our lives. One study of over 600 students found this to be true. Is it true for you? This life skill is so often overlooked that up until the last 20 years, few courses were available on life planning.

Until fairly recently, a person just did not ask a professional counselor for assistance. A search on the Internet for life planning finds a number of resources that were not available in years past. Life planning is not a skill regularly being taught to children in school. The earliest that this skill is systematically taught is in a student success course in the freshman year of college. A few high schools are teaching it in career planning courses.

But leaders—or prospective leaders—need this skill perhaps more than most people. The one great hazard of leaders is that they tend to overload their lives—professional and personal—to the point of being addicted to the adrenal high of work-aholism, life-aholism, or love of money. This is due to lack of focus on a higher sense of purpose and vision. A leader tries to accomplish too much and the addiction to accomplishment or success overtakes his or her life. One accomplishment leads to the next, until there is no time left to enjoy the moment such as taking a walk—to just be—or to being with the ones we truly love.

Souls can be sold to the gods of success, drugs, food, money, power, security, sex, pleasure, laziness, or whatever. Designing and living an intentional life plan can help us live more balanced lives. Planning too much and living lives robotically, however, can kill risk-taking and spontaneity. It is recommended that this area of skill be taken seriously so that it becomes developed. Balance and joy in life are perhaps more important in the long run than we might think. If the joy of life or health is lost, all else may be lost, as well. The scope of this book does not allow covering this area in depth, but it is worthy of serious reflection.

TL Skill #7. The Skill of Educational Planning: Setting Motivating Goals

Today everyone must have a learning plan. Why? Our fast-changing environment will leave behind those who are not plugged into relevant, meaningful, and targeted learning opportunities.

Unless we are fully aware of our own beliefs, values, career, and life goals, it will be difficult to develop an educational plan for ourselves.

Hopefully the learning plan will be based on the person's life plan, not just career goals. Otherwise, a potential outcome could be a person with a great career and a hollow or broken life, as was the case with the police officer in TL #5. When choosing a career, most people don't stop to consider their true interests and passions. After they have made their choice, they decide how long they need to attend school and what courses to take.

A trend in recent years has seen the recruitment of emergency services personnel from a pool of well-educated men and women. As the level of education for recruits rises, so does the level of education for promotion in the services.

In the past 30 or so years, people simply enrolled in courses that struck their fancy at the time. Or perhaps they selected courses a close relative had taken. Before that, most people enrolled in the standard career programs, of which there were relatively few.

With today's myriad learning choices, individuals really must focus and prioritize on who they really are and what they really want—or they run the risk of becoming a professional student, never to accomplish anything beyond the classroom.

But that can be a trap, too. Richard Bolles, in his book, *What Color is Your Parachute: A Practical Manual for Job-Hunters and Career-Changers* (updated annually), asserts there are three “boxes” of life in which we can get caught: school, career, and leisure. If too much time is spent in any one day or week on any one of these three, there is a feeling of being boxed in by that activity. But if lives are balanced with learning, working, and leisure each day—to stay abreast of changing knowledge and skills, engage in meaningful work, and enjoy life—there is greater happiness and productivity overall. In summary, a good learning plan should be based on a good life plan—and linked to a solid and clear career plan.

A trend in recent years has seen the recruitment of emergency services personnel from a pool of well-educated men and women. As the level of education for recruits rises, so does the level of education for promotion in the services. Succession planning models are being introduced. Most of those with years of experience in these services are seeking both horizontal and vertical movement in the organization. Many have not made the effort to include educational planning in their career plan.

After spending years in organizations that used seniority-based promotion and transfer systems, they now find themselves in a highly competitive market where higher education is mandatory. The only avenue available to senior staff is a significant financial and time commitment to education to compete with those hired in more recent years. As education costs soar, they're faced with a financial burden. They struggle with study habits long dormant.

But often most difficult is the impact on their personal and family lives as hour upon hour is spent in the classroom or cloistered away in intense studies. This has become such an issue that educational institutions are responding. For example, Royal Roads University in Victoria, British Columbia, includes this topic in the early stages of its working adult-focused degree programs. Panels using current and graduate learners dialogue with new learners to offer information and advice on maintaining life balance during their intense educational quest. Faculty advisors diligently monitor their charges, watching for signs of the learners' losing balance in education, work, and personal life due to overload. To prevent this kind of overload, it is wise to plan to complete educational goals as early as possible or to schedule them so they can be completed without throwing your life, health, or relationships out of balance.

TL Skill #8. The Skill of Career Planning: Setting Motivating Goals

*This above all: to thine
own self be true,
And it must follow, as the
night the day,
Thou canst not then be false
to any man.*

William Shakespeare

This quotation from Shakespeare's *Hamlet* is worthy of consideration when it comes to career planning and setting wise career goals. Most people tend to choose a career goal and then revolve their lives around that one goal. It controls their daily schedule (especially for those involved in shift work); it controls the environment in which they work, often where they live, their daily stress level, their economic future, and their overall destiny to some extent.

Leaders need to be especially sure that what they are doing is connected directly to their strengths, gifts, talents, interests, and life goals. People tend to look at the leaders' lives to see how integrated they are. If they perceive problems, this can hurt the leaders' credibility. People will perceive that the leaders talk-the-talk but have difficulty walking-the-walk.

This is why life planning as a skill is listed before career planning. It is better to base careers on life plans that include how people want to live, where they want to live, how they want to spend their waking hours, and with whom they want to spend them. A career is, at best, a vehicle to get a person to the destination he or she wants to reach in life—it's not just in a job or career in isolation from the rest of life.

*It is especially important for
leaders to have a career path
plan or succession plan so they
can see how their current role
serves as a preparation for the
next level of promotion or
development they want to
achieve.*

A recent phenomenon has been the acceptance of horizontal rather than vertical career paths. This is due in part to the organizational practice of flattening to reduce the vertical hierarchical structure. But there has also been recognition by individuals, particularly in high stress occupations, that life balance is important. Qualified individuals are deciding to opt out of promotional systems in favor of lateral moves that not only offer needed challenge, but provide a more stable platform for creating life balance. The quality of life in a career and its relationship to other aspects of life is becoming as important as the perceived importance of vertical promotion.

It is especially important for leaders to have a career path plan or succession plan so they can see how their current role serves as a preparation for the next level of promotion or development they want to achieve. It is important that they find and develop mentors and coaches, both inside and outside of their organization (counselors and career coaches at colleges and universities), to help them optimize their real job and career skills. That will help them avoid running headlong into the Peter Principle: being promoted to your level of incompetence and staying there.

This is another reason why a life plan, a learning plan, and career plan truly go together to form an integrated approach to living an intentional life. If you have not already done so, it is recommended that you invest in these three areas lavishly as the foundation of building your vision for your future and preferred life.

TL Skill #9. The Skill of Time and Priority Management

It is likely that few people actually want to practice time management skills to increase their own productivity and balance in life. Time management is a skill that sometimes appears opposed to the very existence of emergency services personnel. Firefighters, paramedics, security personnel, and police officers all begin—and continue for many years—in positions that are primarily reactionary in nature.

These practitioners don't go to work to carefully compartmentalize the tasks of the shift. They can't. They simply respond to whatever occurs during the shift. A phrase frequently heard is "Hours of boredom occasionally interrupted by a few minutes of utter chaos."

When beliefs, purpose, values, and goals are clear, it is much easier to decide in which of the three piles things belong.

When they reach supervisory and management positions, the concept of managing time in a pro-active fashion is foreign. Most people tend to just live from day to day, get done what they can, and avoid what they can avoid in terms of stress. Many people become discouraged when they start to plan their personal and work lives. At first, they aren't very realistic; their plans do not work out as expected.

They often try to do too much in too short a time; they find that time management is an additional hassle and distraction. They experience some burnout and give up on any kind of systematic approach to planning and living. This is unfortunate because it is possible to find more comfortable and productive ways to more effectively use time. A simple and practical approach to dealing with the complexities in work and personal lives is to categorize each task for the day.

Priority 1: Must be dealt with today

Priority 2: Would like to do today, if there is time for it

Priority 3: Will get to it if I can, someday

As time goes by, various tasks can be moved up into a higher-priority category. If everything just keeps piling up, then of course a person has to ask if he or she really wants to live or work that way.

Another important way to manage time is to block out periods of time by the type of task: All phone calls returned between 9 am and 10 am, all letters written between 10 am and 11 am, etc. This approach is very effective for some people and eliminates distraction and complexity that can interfere with effective performance.

When beliefs, purpose, values, and goals are clear, it is much easier to decide in which of the three piles things belong. Experience has shown that people will become better at managing time as they do it over and over. It is an art as well as a logical planning activity. It is permissible to

allot a block of time that is not structured or goal-oriented; the goal during this slack time is to be free from any regimen.

The very best stress prevention method is a well-designed and well-lived life that is not overloaded.

There are fine workshops in time management, good resources to read, and excellent time management systems available for sale. But, as a leader it is necessary for you to find your own style of managing time. You will continue to get better at it as you go along if you prioritize everything according to your beliefs, purpose, vision, values, and goals.

When we manage our time, what we are really managing is our lives.

TL Skill #10. The Skill of Stress Management

This skill is often learned after people become so stressed, they must find a way to unwind. It is often with reluctance that some professionals such as emergency services personnel even acknowledge the existence of personal stress. Incidents that by normal standards would cause a great deal of stress are often treated with apparent nonchalance and even disdain.

The culture is seen as demanding this strength as a sign of an individual's ability to "get the job done." In the course of time, people haphazardly find stress-management techniques that work well; others that work well may have undesirable side effects, such as the use or overuse of anything that temporarily relieves stress—drugs, food, sex, work, exercise, leisure, etc. Culturally acceptable in emergency services are the early morning parking lot tailgate-parties that include the obligatory alcohol stress-reliever. An upstream approach to the prevention of stress accumulation is more desirable.

The very best stress prevention method is a well-designed and well-lived life that is not overloaded—one that is balanced and enjoyed. The two most powerful tools for stress management and for knocking down the accumulated stress are a regular daily program of cardiovascular exercise and deep relaxation. Twenty to 30 minutes a day of exercise combined with 20 to 30 minutes of deep relaxation can do an incredible job of reducing pent-up stresses in the body and preventing the accumulation of stress.

Talking problems through to resolution can release emotional tension and promote a sense of well-being. People who are good self-managers and who have developed the skills outlined in this chapter will likely have lower stress levels, look younger, be healthier, and enjoy life more. To look into this area in more depth and to learn more, a great many books and workbooks are available in stores or public and university libraries.

Another way to look at stress management is to look at each leader's life as an energy system. The next section will provide that useful perspective.

TL Skill #11. The Skill of Energy Management for Improved Health and Performance

Energy management is the preventive approach to managing stress. If a person can get the jump on stress accumulation in mind and body by nourishing, strengthening, and resting themselves physically, he or she will have a much greater reserve of energy to cope resourcefully with more difficult or demanding situations.

In addition to avoiding harmful substances such as tobacco, alcohol (except in moderate quantities), and various medical and non-medical drugs, there are four areas where increased knowledge and development can result in a greater resilience and hardiness.

The Four Lifestyle Management Keys to Increased Energy and Performance: Optimum Nutrition, Exercise, Deep Relaxation, and Restful Sleep

The wide range of opinion about what makes up the optimum amounts and best types of nutrition, exercise, deep relaxation, and sleep is overwhelming and confusing for most people. Just what sources or experts should you rely on when attempting to establish an appropriate balance in these four energy resource foundations? After reviewing the literature in the four resource areas that has been published in the last 30+ years, the following basic guidelines become evident.

1. There is little disagreement among various experts in the fields about things you might best do to generally increase baseline energy and performance levels.
2. Individual differences between and among people are significant enough that a generic prescription for any one person may not be appropriate. Therefore, a health care specialist should be consulted before we make any major changes.
3. Assessments of a particular individual's unique physiology, needs, and style are prerequisites to any appropriate health and fitness program design for that person.
4. A monitoring of progress on any program is necessary to determine if, in fact, that changes made in diet, exercise, relaxation practices, or sleep patterns make any worthwhile difference.
5. Lifestyle changes (clarity of purpose, values, goals, plans, and activities) often accompany increased control and balance of energy resources, which result in higher performance and vitality. These lifestyle changes need to be protected and supported if the programs are to promote sustained higher energy and performance.
6. Once new and more effective habit patterns have been well established that are more preferable than the old patterns, the side benefits are increased self-awareness, self-esteem, and therefore self-confidence.
7. A combination of professional medical advice and personal experimentation with various programs yields the results of improved health, wellness, increased performance, and well-being.

It is not the purpose of this book to look in depth at this area. Rather, we want to introduce you to the importance of learning to manage this part of life well. The benefits of healthful practices are obvious; the limitations that can occur when we allow stress to overtake us are also obvious.

TL Skill #12. Positive Mental Attitude: The Inner Skill of the Winner

*Whether you believe
you can do a thing or not,
you are right*

Henry Ford

In his studies of professional athletes, Waitley (1979) found that specifically identifiable patterns of thought and action distinguished winners from losers.

The major differences were found in mental attitude; other less-significant differences were found in physical ability. He studied winners from many fields and found similar success patterns.

The ability to face an apparent problem and see it as a positive challenge is one that winners have. Rather than assess the situation by the intensity or depth of their emotions at the moment, they inwardly control their reactions to an event and assign it the weight of importance appropriate to the situation.

Winners take failure and use it to improve their next performance. Their rationale is, “The more times I fail, the more practice I get, the better I get.” Because they practice more often without presuming they cannot achieve a particular goal, they succeed more often. This is supported by the modern legend regarding Thomas Edison and the invention of the light bulb. When he commented that he had been unsuccessful 10,000 times before achieving success, he was asked how he managed to continue despite all the failures. The response attributed to Edison was that he had not failed 10,000 times; he had simply discovered 10,000 ways not to invent the light bulb.

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4 The Skills of Interpersonal Communication and Conflict Management

Introduction

In order to wholly be with another person, I have to first be inwardly connected with myself—then I am in a position to be awake to others, to see them, hear them, and understand them. Then, and only then, will I gain their trust and the cooperation that is required for us to reach together toward deeper friendship, higher achievement, and service.

Terry Anderson, PhD

This chapter continues the in-depth exploration of the skills involved in being a Transforming Leader. If leaders manage themselves and their lives well, as indicated in the previous chapter, they will be in a better position to be fully present, whole, and influential in their relationships with others. Even one serious deficit in a skill area in these foundational skills of self-management and communication can undermine leadership credibility, diminish influence with others, and result in the leader's not being as effective as he or she could be. This is especially true when it comes to learning the more complex skills of coaching, counseling, and consulting that are expanded in the chapters that follow.

The most important thing in communication is hearing what isn't said.

Peter F. Drucker

In addition, when people come into a university-level course in interpersonal communication and do the first videotaped assessment, they exhibit typical communication problems regardless of their educational background or level of professional experience. In other words, most people have blind spots that can be quite easily corrected with competency-based training or coaching.

When they become aware of what they are doing, most people can quickly learn to avoid doing things that undermine effectiveness. When the skills are presented as micro-skills, they are more transferable, more easily learned, and certainly easier to understand.

An example of the critical need to communicate effectively is the move toward community policing models by police agencies in jurisdictions throughout the world. Police officers are no longer entirely driven by calls for service or merely reacting to crimes in progress. They are expected to be leaders in the community. Community-oriented policing and problem-oriented policing are much more pro-active and focus more on crime prevention and reduction than

criminal apprehension. Problem-solving strategies frequently call for participation by other governmental agencies and the resident community.

The police officer or deputy sheriff is expected to identify neighborhood problems that contribute to crime and bring various resources together to work on those problems. The success of those problem-solving partnerships often depends upon the leadership and interpersonal communication skills of the police officer or supervisor leading the crime prevention effort.

Under the professional model of policing, practiced throughout most of the 20th Century, police supervisors, managers, and administrators were expected to simply manage the system rather than inspire, act creatively, or lead change (Geller and Swanger, 1995). The accountability of individual officers was a fundamental issue for police executives (Kelling *et al.*, 1988).

Geller and Swanger (1995) also describe the traditional style of police management being practiced for the past several decades. They refer to this style as “old age” managerial skills. These skills include setting goals, establishing procedures, organizing, and controlling. They also describe the militaristic structure in most police agencies that causes managers to “rely on authority rather than competence and respect among peers as the basis for influencing subordinates.”

As a result of the changing culture of policing, the first-line supervisor and middle-manager roles (generally a sergeant and lieutenant, in most departments) have taken on much more responsibility for coaching, leading, and communicating. Even the front-line officer is expected to be more of a leader and facilitator than was expected under the old “professional” model of policing. The transformation from professional policing to community-oriented and problem-solving models, such as Community-Oriented Policing and Problem-Solving (COPPS), will challenge the leadership ability of all members of the police organization. To see examples of excellent problem-oriented policing projects go to www.popcenter.org. The skills in this chapter are critical for success in families, teams, organizations and communities: They are *life* skills!

The following Transforming Leadership skills are the focus of this chapter.

TL Skill #13	Self-Disclosure	Page 115
TL Skill #14	Image Management	Page 117
TL Skill #15	Impression Management	Page 118
TL Skill #16	Attending	Page 120
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What Are Interpersonal Communication Skills?

The art of communication is the language of leadership.

James Humes

Interpersonal communication skills are the vehicles by which all interactions between people are made clear. Much of the communication that occurs is one way, without either party truly hearing the other or accurately understanding the feelings, thoughts, or reasons for these feelings or thoughts. Barriers to communication (sometimes referred to as noise), such as perceptions, unique language, and particularly in this day and age, information overload, cause the receiver to hear the message in a different way than it was intended. In our modern culture, especially in cities, many people are taught not to have two-way communication because it is too personal and imposing or too time-consuming.

Have you ever taken a course where you were trained in interpersonal communication skills, so that it was confirmed you had competencies and not just knowledge? Where do people go to get such training? Not many places offer it: not most schools, not most families, not most churches, not even most business schools, medical schools, or law schools.

The practice of good communication skills results in two-way communication that builds relationships or solves practical problems, whichever is the intent.

Schools of social work, education, and counseling often offer such courses as a required part of their programs. But few people get the opportunity to gain confirmed competency in the use of these all-important foundational skills.

Exploring the Skills of Communication

The practice of good communication skills results in two-way communication that builds relationships or solves practical problems, whichever is the intent. This chapter will assist the reader to review and self-assess the extent to which he or she has the skills that have been researched as critical to the development of effective interpersonal communication in any setting (Carkhuff, 1971).

TL Skill #13. Self-Disclosure: Sharing Appropriately with Others

Self-disclosure refers to the ability to appropriately reveal deeper and deeper levels of self to others, as the other person in the relationship earns trust, which warrants such deeper and more genuine disclosure. This skill is critical in the development of both a person's self-concept and his or her relationships with others.

It seems that a person earns trust and intimacy to the extent that he or she can be genuine, from the heart. Being open, but not unwisely risking too much information too soon, promotes this type of trust and can even encourage the development of psychological intimacy. If no one knows you very well, you will probably not feel much of a connection to others. Perhaps a sense of belonging and being connected with others is one deep need that everyone has and, if that need is frustrated, some people experience the pain of loneliness and emotional difficulties.

If people are shy—fearful that others will use any personal knowledge against them—they will likely have difficulty with this skill of appropriately sharing themselves with others. Sharing at this basic level is often based solely on the basis of deterrence, that is, information will only be shared if there is punishment for violation of the trust relationship.

If a person is outgoing and can easily share his or her feelings with others, he or she may find this tendency makes more-introverted people uncomfortable. Therefore, an important factor to consider is that self-disclosure must be appropriate to the level of familiarity with the style of the other person.

If a person is outgoing and can easily share his or her feelings with others, he or she may find this tendency makes more-introverted people uncomfortable.

Self-disclosure, to be most effective, must be well timed, not too deep or too shallow for the purpose of improving the relationship, and shared in confidence and trust. As an example of how truth-telling in relationships is healthy, a special friend recently said this to one of the authors.

My wife and I have had relational problems develop over the years that we sort of ignored and adjusted to, without really realizing it. But the romance and closeness grew faint as the years passed and we became distant to one another. She has wanted to work on facing these things but I have avoided it for years. It was just too humiliating that a professional like me would have to admit failure in this area of life when I teach communication to people as a profession! But, in the past few months, I made a commitment to really listen to her and tell her the truth about what I am feeling in the relationship.

We asked each other two questions, “Where is our marriage from your point of view on a 10-point scale and why?” And, “What could I do to make it a 10 for you?” Wow! Did that ever open up the communication on both our parts. The truth hurt, but we didn’t hurt one another! As a result, we are closer than ever, the romance is back in a new and deeper way, and this is in spite of the fact that we are both busier than ever in our careers. I can’t tell you how important this is to my overall happiness and optimism for the future. And our kids are getting the bonus of seeing us be joyful and playful together as they grow up!

Self-disclosure can also be valuable in community policing practices. Police officers must first build trust beyond the first level if they truly expect to develop the relationships necessary to partner with others in crime prevention efforts. Experience has shown that police officers alone cannot solve complex neighborhood crime problems. Community support is needed.

There are some communities, especially in moderate to large cities, that have a mistrust of the police. That there are news accounts of police brutality or corruption is a reality. Police misconduct may not be commonplace, but even isolated instances of it can get top news coverage. Even the drop in crime statistics is contaminated by news accounts of large East Coast police agencies falsifying statistical reporting to bolster their dramatic reductions in crime rates (*San Diego Union*, August 3, 1998).

To overcome the mistrust that may be unspoken, officers must be open and honest at all times. Openness has not traditionally been a strong attribute of the law enforcement community. Police agencies sometimes guard crime information as though it was a national security secret. Neighborhood residents probably have a very clear understanding of crime problems as a result of living in the middle of the problems. They do not need to be protected from the reality of crime and they should be trusted with specific crime prevention tactics.

Officers must share crime statistics and non-critical crime data if they want to truly build trust and working partnerships. By being open and sharing as much as possible, the officer gives residents the knowledge to understand problems and the opportunity to contribute to solutions. Often the fear experienced by the public is founded in their perception of crime rather than the reality of crime.

TL Skill #14. Image Management Skills: Taking Responsibility for How You See Yourself

This skill refers to people's ability to be conscious of how they see themselves. This means self-monitoring any negative images or internal "voices" that would undermine effectiveness as a person or leader and managing those voices in a number of ways, ensuring positive focus, no matter what external circumstances occur. Many people often neglect this critical skill area. It is mainly a skill activated by awareness and by carefully choosing and affirming a positive self-image.

Also, it is important to live congruently (with integrity) to that image so it can develop as a part of the very fabric of being. No one enjoys the tension of being divided internally and presenting themselves as duplicitous to others. Studies on successful people reveal that this inner capacity and strength of managing self-image and inner integrity is an important contributor to success in career and life (Glasser, 1984; Waitley, 1983).

As the Baby Boomer generation reaches retirement age, there are more opportunities for a career in the justice and public safety field. Organizational changes such as flattening have occurred, however. In an effort to improve organizational efficiencies, layers of the organization have been removed, thereby eliminating promotional opportunities. Justice and public safety organizations generally operate on a status-based reward system, where success is equated to an individual's status or level in the hierarchy. Conversely, lack of promotion is seen as failure.

This lack of perceived success may result in diminishing performance by an individual and eventually, a questioning of self-worth. As job satisfaction decreases, so does the willingness to accept new challenges required by both the new organizational structure and initiatives.

In policing, for example, there are those who resist the movement to community-oriented policing models because they perceive it as too much like social work. They do not see themselves as successful in community-policing practices, so they refuse to try. They do not know how to manage self-image and integrity. They continually see their cup as half-full and eventually become discipline problems, even resorting to dishonest practices to obtain recognition or promotion. Many good officers simply leave the profession because of negative images of themselves or the job.

TL Skill #15. Impression-Management Skills: Taking Responsibility for How Others See You

This skill involves a person's awareness of the impact of his or her behavior, appearance, and mannerisms on other people. It is also choosing behavior intentionally to alter this impact in a desired manner. It is related to the foregoing skill in that it involves bringing forward the positive images of self that have been created or discovered. The skill includes the following:

1. Learning to dress appropriately for various situations
2. Learning to speak effectively and articulately
3. Expressing strong, effective, and pleasant non-verbal messages to others
4. Creating the image in others' minds that you want them to have of you
5. Avoiding being pigeonholed by others' limited perceptions of you

One very successful police lieutenant had a reputation as an outstanding tactical leader. His 20-year career was primarily in patrol-related assignments. He worked as a SWAT sergeant and lieutenant and handled numerous critical incidents. When he interviewed for a promotion to captain, he was perceived as being too rigid and inflexible. This perception by command staff personnel was founded on specific behaviors observed during field situations when quick, decisive action was necessary.

The role perception was for a decisive field commander to be in charge of a major crime or disaster scene. That role perception also required that the same commander be seen as approachable and willing to listen to other points of view when the situation requires versatility and creativity.

Very few people saw this lieutenant as capable of possessing the skills necessary for participatory decision-making. He was rarely seen involved in complex negotiations with other city departments or facilitating community meetings where various competing interests were being

discussed. Even though he possessed these skills, he had been pigeonholed. He also did not have the skills necessary to create the image he wanted others to have of him.

After being passed over for promotion, he was given specific feedback on how others saw him. His facial expressions (rarely smiling or using humor), continuous criticism of others, and “by-the-book” decision-making process (with little explanation) were sending an unintended message: “I don’t have time for you or your concerns.”

Specific examples of his past behavior were discussed and recommendations made. He realized he needed to intentionally model the behavior that might change the image he worked so hard to develop when he went after the SWAT commander’s position. He accepted an administrative assignment that gave him more exposure to command personnel in more business management settings. He took the opportunity to discuss his past job-related experience with command personnel. He was also able to demonstrate his current skills in upper management problem-solving. The consequence of his action was placement on the list for promotion to the rank of captain.

The following brief story illustrates how impression-management works. For 25 years, one of this book’s authors trained university students to get ready to go out into the business, justice, and public safety systems and find jobs that fit their newly acquired skills and qualifications. Most of them struggled with anxiety when preparing for the first job interview. Most of the students had not received validation and confirmation that they were perceived as competitive and that they were desirable as prospective employees. Many had severe self-doubts even though the track record of the program from which they were graduating was that over 90 percent of the graduates found employment in their area of interest.

What was done to get them ready was to question them, using a mock interview panel. The questions asked in their prospective interviews were generally known. Also known was what the employers were looking for in terms of personal appearance, conceptual understanding, and specific kinds of answers to questions.

When the students were finished, after about an hour or two, they reported feeling strong relief from anxiety and much greater confidence. Many of them reported the experience was like a rite of passage. They discovered what to do to capitalize on their strengths and what to stop doing to minimize their weaknesses. In short, they became aware of impression-management and the level to which they actually control the image they portray.

Being a leader is like preparing for a whole range of interviews in varying environments. Leaders need to be appropriately flexible, yet genuine, in the way they present themselves. The leader wants to earn respect, credibility, and the right to influence people in positive ways through the trust that is gained. Learning to be intentional about understanding what images and languages (both verbal and non-verbal) people are comfortable with and shifting into them will have a bearing on success as a leader.

The topic of impression-management cannot be left without a *caveat*. Within impression-management is the influence tactic known as ingratiation. This involves creating a perception of similarity between oneself and another person so that the other person has a favorable opinion. Examples of ingratiation include seeking advice from a superior, flattery of that superior, and acting in a manner similar to the superior.

Although each of these behaviors has a legitimate basis, there is the potential for a loss of credibility where the behaviors are perceived as self-serving and not grounded in the best interests of the organization. Care must be exercised in impression-management that where ingratiation is used as a legitimate influence tactic, it is not perceived as “sucking up”.

TL Skill #16. Attending: Giving Undivided Attention to Others

Full Attending involves both appearing to be attentive to others and actually (inwardly) giving your undivided attention. Attending behaviors that give the appearance of being interested in others are:

- facing the other person;
- squaring your shoulders;
- using appropriate eye contact;
- having an open and relaxed posture;
- leaning toward (instead of leaning back); and
- observing appropriate distancing (usually 3 to 6 feet in North American culture, farther away in Asian cultures, and often closer in Mediterranean, some European, and South American cultures).

Genuinely giving attention to others is something others can sense as well as observe. Focused attention is what most people want and expect from one another, but receive all too infrequently. Attending forms the basis for observing another person accurately and is a prerequisite skill for observing without distorting perceptions.

Although this is a skill needed in all professions, the critical need for this skill is exemplified in the police setting. Giving undivided attention can enhance the effectiveness of any officer—whether on the witness stand in court, talking to a crime victim in the street, or obtaining a confession from a suspect. The overall success of a police officer will rest, in part, on his or her attending ability. By way of example, some senior officers may remember the primary method used by police officers in years past: “If I get called back out here again, someone is going to jail!” This tactic rarely solved any problems and did not require trying to give undivided attention to anyone. In fact, the old style was to say, “I’m too busy to listen to your problems and I don’t care how you work them out.”

Not exactly “protecting and serving.” People are less likely to call the police for help with any type of problem (domestic violence, juvenile delinquency, etc.) if the only resource the officer offers is the criminal justice system.

Many times, people call the police just to be heard. They can solve many of their own problems if they feel they are getting the support, attention, and resource referrals they deserve. By receiving undivided attention people will be encouraged to release more information, which can lead to an officer’s more accurately assessing the underlying problem thereby enabling the officer to make the proper referral to a support agency.

Providing an effective referral can reduce repeat calls for service and free-up officer time to work on more serious crime problems. The general success of community-oriented policing can be largely attributed to the street officer’s ability to give undivided attention to community members.

As an illustration related to daily life, consider going into a bank and standing and waiting in line to get the teller’s or loan officer’s attention, only to find he is so busy with the task part of the job he has forgotten the relationship part. The same thing can occur in a restaurant, a doctor’s office, or a law office.

It is important to remember that the act of making eye contact is not seen the same in all cultures. Eye contact in one culture may be a message of ‘I don’t wish to communicate.’ In other cultures, this lack of eye contact may be a signal of deference to another individual’s power. In this diverse world, it is important that the leader always consider the cultural variable when initiating eye contact.

Most people do not have the time of day for people who do not have it for them. People who will not even look at others are communicating some form of preoccupation, lack of availability, or lack of caring. If they are busy and preoccupied, they should let that be known. Tell the other person when you will be able to give undivided attention to him or her.

Making eye contact can be nourishing, can encourage communication, can be welcoming, and can put others at ease, especially if you are a genuine person seeking to serve or make things better for everyone. People who are not genuine or who really do not care about others often show it in their failure to make contact with the other person’s eyes.

Having said this, it is important to remember that the act of making eye contact is not seen the same in all cultures. Eye contact in one culture may signify a sense of trust or bonding; the absence of eye contact may be a message of “I don’t wish to communicate.” In other cultures, this lack of eye contact may be a signal of deference to another individual’s power. In this diverse world, it is important that the leader always consider the cultural variable when initiating eye contact.

One employee told, somewhat humorously, about her frustration with her boss’s inattentiveness. She felt so discounted and undervalued that she said to an acquaintance, “The next time I go into his office and he keeps shuffling his papers and doesn’t look at me, I am going to tell him that he had better look at me or I will set his desk on fire! Maybe that will get his attention!”

TL Skill #17. Observing: Simply Seeing Another Person without Distorting or Judging

Observing skills involve consciously receiving information about another person from all visible sources: A person's physical tension and energy levels, facial expressions, skin flushes, body posture, manner of dress, expressive mannerisms, hand movements, gestures, and the sum total of all other body language. When the leader can simply look and see what another person is doing and keep those observations separate from any judgments he or she might be making, then the leader is being more objective in the understanding of others.

It is first necessary to recognize the concept of selective attention. Individuals will selectively filter the multiple *stimuli* that reach their senses. Consider a room full of independent conversations, where it is necessary to focus on only one conversation at a time. During that conversation, a loud noise occurs elsewhere in the room; suddenly a portion of the conversation is lost because attention is diverted.

The selection of information is also influenced by the makeup of the individual perceiver. This includes his or her belief system, values, and life experiences that may cause a perceptual defense. This results in the blocking of information where that information is perceived as threatening to self-esteem.

Even the context in which the information is occurring influences the observation. Recognizing this propensity to consciously or unconsciously filter incoming information allows the leader to direct attention to those *stimuli* that otherwise might have been overlooked or ignored.

Using the skills of observing prevents the development of assumptions and alerts the observer to judgmental tendencies. Observing is the prerequisite skill for effectively and temporarily suspending your own frame of reference (judgment or value system). Consider the effectiveness of your ability to observe accurately and keep your personal reactions separate from what you see as you read this chapter.

This skill is the one that connects the observer with the world of another person. If the intent is to motivate an individual to learn, perform better, and engage in problem-solving with and trust and grant credibility to the observer, then it is necessary for the observer to demonstrate that he or she is sensitive and observant. Noticing how people feel and processing that information, as a part of the communication process, is a more subtle and advanced way of developing credibility and influence ability with others.

- If a person wishes to understand the extent to which someone is motivated to work on a project, it helps to observe the other person's face and eyes.
- Women have a natural tendency to notice these non-verbal cues more keenly and immediately than men.

- To understand the differences that may be accounted for by temperament and by gender, it is necessary to be aware that different people have differing capabilities in their ability to be sensitive to others in their environment.
- If there is a tendency to be less observant, there is a greater need to consciously decide to focus on, observe, and note what is going on with others non-verbally.
- If there is an assumption of never being perfectly accurate in perceptions, you are in a position to reserve judgment and check for the accuracy of perceptions, thus avoiding much grief and misunderstanding in relationships.

Successful police officers develop this skill consciously. Specific classes in interviewing and interrogation techniques teach recognizing and reacting to non-verbal behavior. Many confessions have been obtained as a result of knowing—through observing—exactly when to physically move in close to a suspect during an interrogation. Moving in too early can threaten the suspect and cause the person to retreat. Moving in too late will prolong the interrogation and can result in a missed opportunity.

Gaining cooperation from an uncooperative witness at a gang homicide scene requires being non-judgmental and understanding the witness's perspectives of the situation. Officers need to gain support and trust by seeking to understand the gang culture.

Getting neighborhood residents to become involved and begin grass-roots crime prevention efforts is based on the beat officer's ability to be understanding of the residents' fears and perceptions.

TL Skill #18. Suspending Frame of Reference: The Key to the Golden Rule

It is important to remember that reality is only what reality is perceived to be.

Suspending frame of reference is recognizing that others' reality is not necessarily (and seldom is) the same as our reality.

The skill of a leader to temporarily suspend his or her frame of reference is perhaps the most critical and important of all skills, because credibility and effectiveness can at times rest solely on the performance of this skill. A person's frame of reference is made up of beliefs, assumptions, values, feelings, judgments, emotions, advice, mood, thoughts, perceptions, and stress level at any given moment.

Because the frame of reference is so personal and deeply imbedded in each person, it is very difficult to practice suspending it on a regular basis. Most interpersonal, counseling, and leadership problems stem from this difficulty of needing to interpret reality from a personal vantage point and reacting in a self-oriented manner. It is very important to learn to react in such a way that takes into consideration others' points of view and feelings, as well as our own. It is about operating at the highest levels of emotional intelligence.

It is important to remember that reality is not what it is, but what it is *perceived* to be. Suspending frame of reference is recognizing that others' reality is not necessarily (and seldom is) the same as our reality.

This skill, simply put, is inner strength for self-control of emotions that impact your own feelings, judgments based on personal belief systems, and premature advice. Practicing this suspending skill involves putting others first before self, checking things out before jumping to conclusions or reacting emotionally, and giving others the benefit of any doubts about them.

Signs of not suspending include making snap judgments, reacting emotionally to a situation before truly understanding it, writing a person off before giving him or her a fair chance, or assuming that something is true before checking it out.

Suspending is especially appropriate when others need to be understood so that their tension or stress can be defused. In this way, they can be helped to become ready to hear others' thoughts, feelings, or points of view, and from a leadership point of view help the person take action on a project that is important.

Suspending, which is based on the facts of accurate observation, is the foundation of patience, gentleness, kindness, respect, and effectiveness in all leadership, counseling, and communication situations.

The skill of suspending frame of reference is probably one of the most difficult for a police officer to learn and maintain. Today's young recruits often come directly from home, college, or university. Many have a limited life experience to draw upon and their frame of reference is very narrow and shallow.

This lack of life experience makes many of them somewhat naïve with regard the realities of the policing profession. Early negative experiences pull an officer in the direction of not trusting anyone, being suspicious of everyone, and giving no one the benefit of the doubt.

Even though most law-abiding people support their police or sheriff's department, officers often get very little exposure to that support. Being exposed to criminals on a daily basis forms a new and often negative frame of reference for a one- to five-year veteran.

Community-oriented policing programs have given police officers an opportunity to practice the skill of suspending frame of reference by working with residents in a non-threatening and cooperative relationship. Police officers regain the trust and support of the community.

Accurately observing what is happening in a neighborhood, both positive and negative, gives an officer the experience needed to be more understanding, patient, observant, and successful.

TL Skill #19. Questioning: Appropriate Gathering of Information

Questioning is a much-overused skill that can put others on the defensive. It is considered appropriate to use open-ended questions such as, “What do you think about that?” when expansion of a topic is desired without influencing direction. Active listening and checking for what people intend to convey, however, is often more effective than questioning.

Questioning gives the appearance of controlling the situation, much like interrogation during a police interview. Carefully framed directive questions can be effective during an interrogation. This technique is not effective when attempting to establish trust and open communication.

Questioning is used effectively when it is necessary to gather non-personal information such as what someone thinks about a specific issue or for directions to get to a particular place. In general, questions are less personal than active listening and should be reserved for less personal interchanges, when correctness or completeness of information is the main focus.

Using questions on a habitual basis may cause the unconscious leading of others in a direction desired by the questioner, thereby failing to suspend frame of reference and truly listening.

Questioning often prevents people from just telling their stories. In the review of hundreds of videotaped leadership interviews, it was observed that when questions are overused (and therefore not much listening is going on), an accusatory, blaming, or suspicious tone of voice is often evident. This tone tends to make people even more defensive and interrupts the flow of their own version of the story they are telling. Many times, just listening carefully and using gentle, probing questions sparingly can elicit more information than direct questions.

Those who have a style of interacting with others and that uses questions as the main theme should attempt to achieve more of a balance among the skills of listening, sharing, and questioning. This will increase the amount and quality of two-way communication that leads to problem-solving and conflict resolution in personal relationships and will lead to performance improvement when leading others.

TL Skill #20. Listening: Checking for What Others Intend to Mean

A person who listens well actively checks for the intended meaning of a message from the sender’s point of view. A good listener is grounded and centered; gives undivided attention; temporarily suspends emotions, advice, and judgments; uses questions in a limited and appropriate manner; and checks with the sender to see if there is mutually understood meaning.

Recall that this is the basis of good communication; the receiver interprets the message the way the sender intended.

The skill of active listening also involves letting others finish, even when there is an urge to interrupt to make a point. Helping others to feel heard and to finish with what they are saying only increases the chances that the door of their perceptual two-way system will be open to a message and that it will be interpreted in a manner consistent with the sender's frame of reference.

The most basic and powerful way to connect to another person is to listen. Just listen. Perhaps the most important thing we ever give each other is our attention.... A loving silence often has far more power to heal and to connect than the most well-intentioned words.

Rachel Naomi Remen

There are those who have the perception that letting someone else finish talking, then checking for accurate understanding so the other person feels understood (and says so), is a phony way to interact, because they are holding themselves back. Some people are uncomfortable with the skill of active listening. Careful listening works to clarify confusing messages and defuse tensions that are often at the root of conflicts or misunderstandings in all kinds of relationships.

The following are some language formats that can be used for active listening.

These formats not only help in the clarification of meaning, they also send the message that the listening is based on a genuine interest in what the other person is saying.

“You mean _____?”

“Maybe you’re saying _____?”

“What I hear you saying is _____. Is that right?”

“Could it be that you mean _____?”

“Can you clarify that for me?”

“I’m not sure I get what you mean. Can you explain further?”

Notice that all the above formats suggest a tentative, not presumptuous, approach to checking with the other person to see if the listener is grasping a good part of the meaning the sender intended.

Also, notice the questioning tone at the end of each format. By asking the other person if the understanding is accurate, there is a statement of open mindedness and an opportunity to learn more. It is showing interest and respect. This is an opportunity to ask questions without making the other person uncomfortable.

Inexperienced employees need to feel supported. They also need to learn how to think through the problem-solving process. Active listening gives them the opportunity to take ownership of problems in their areas of responsibility. It also gives them the feeling that what they have to say is important. After all, they are expected to make important decisions and use discretion every day.

TL Skill #21. Responding with Understanding: Getting on the Inside

The skill of responding with understanding is a powerful, personal, and intimate skill. Using it may even sometimes require the other person's permission. To carefully understand what someone is feeling, all the skills discussed in this chapter must be applied first. Some people will resist or even resent your responding to their feelings directly. Others will experience relief or satisfaction when shown understanding of their feelings in a specific way.

You cannot make yourself feel something you do not feel, but you can make yourself do right in spite of your feelings.

Yet, one of the most frequent complaints of employees, spouses, children, and relatives is, "You don't even understand how I feel." The important point is that this particular skill is best used when others want it used with them.

Pearl S. Buck

The use of this skill requires greater expertise and sensitivity than any of the other skills reviewed to this point because careful observation of non-verbal cues is required. This is how responding gets you inside another person's emotional world. Responding with accurate understanding also enables seeing and feeling things from the other person's point of view.

That is why this skill is the foundation of the quality called empathy. Empathy is defined as communicated understanding so that you can prove to other people you understand what they feel and think and why they feel and think the way they do. The following language formats can be used to convey empathy.

"You seem to feel (feeling word) because (reason)."

"Maybe you're feeling (feeling word) because (reason)."

These formats are just general guidelines and can be changed to fit the situation or person, but they must contain a direct and accurate response to a person's feeling state and the reason why the person is feeling a particular emotion.

Empathy training is available as a part of most communication-skills training courses or workshops. Understanding the feelings of others is an important cornerstone of building leadership credibility and trust in the minds and hearts of those with whom leaders work.

For example, police officers must understand community concerns and respond to them if they are to gain community support in any problem-solving effort. Police officers should facilitate a discussion where community concerns are heard and tactics are developed to address them.

It is important to recognize that often it is a *perceived* problem and understanding must be gained of the underlying factors of that perception. That perception may be causing fear in individuals and the community at large.

Even though the police statistics might not support the perception, the perception is real, just the same. Tactics must take into consideration the feelings and priorities of the neighborhood residents. Once success is achieved in any one problem-solving effort, residents will be more likely to join in on the next problem-solving effort.

TL Skill #22. Assertiveness: Speaking Honestly and Kindly with Self-Control

Assertiveness involves speaking the truth about oneself to others in a patient, kind, and understanding manner, thus giving others the opportunity and the right to do the same thing.

Practicing the skill of being assertive means sending part of a person's frame of reference to others in a respectful manner, letting them know your own feelings, ideas, opinions, reactions, beliefs, judgments, or points of view. If leadership credibility is desired, it is important to be genuine and up-front—without being overly pushy—to avoid being walked on by others' behaviors, false expectations, and assumptions.

Assertiveness involves speaking the truth about yourself to others in a patient, kind, and understanding manner, thus giving others the opportunity and the right to do the same thing. To make the communication and relationship even better, model putting the other person first. Being assertive also involves not getting your frame of reference hooked and then overreacting emotionally in anger—which can add fuel to an already blazing fire.

Combining assertiveness with responding skills prevents communication with others from seeming to be aggressive or passive and promotes two-way completed communication that can result in problems getting solved. Therefore, if there is anger with someone because of his or her behavior, a possible statement format is:

When you (describe behavior), I end up feeling (one word) and then (describe what else tangibly happens to you).

If the other person is having difficulty receiving the message, respond in an empathic way ("You seem upset when I tell you how I feel") and help the other person to process the message. Combining the skills of assertiveness and responding allows the initiator to manage his or her half of the communication and provides every opportunity for two-way communication to take place. Taking this responsibility usually solves problems and develops relationships. Some people, however, may choose not to enter into two-way communication for a number of reasons. If this occurs, at least the person initiating the communication knows that he or she has done his or her part well.

Police officers frequently need to move from being very assertive to being somewhat passive, based upon the situation they face. They must approach each situation with the ability to suspend their frame of reference and, at the same time, be assertive enough to maintain control for the safety of all involved. Maintaining control must also be done in a manner that does not fuel a volatile situation.

Some studies have shown that the manner in which a police officer responds can incite more violence. Experienced officers develop the skill of being assertive with self-control. One particularly effective officer warns suspects in a quiet tone of voice that if they escalate their violent behavior, he will have to escalate his use of force. His sober, centered, calm, and steady demeanor is so disarming and powerful that he generally gains their cooperation.

These same principles apply to police supervisors. Being too assertive (in other words, being aggressive) with subordinates can inhibit cooperation and innovation. The overly assertive supervisor can encourage officers to remain reactive to crime and wait for someone else to develop problem-solving strategies. Not being assertive enough with subordinates can enable officers to become passive about crime and remain uninvolved when developing problem-solving strategies.

Effective problem-solving requires practice on the part of street officers. Non-assertive supervisors will be left with sole responsibility for solving area crime problems.

While one of the authors was on patrol with a young officer, the officer explained the crime problems in his area. He described a series of purse snatchings that occurred near a popular restaurant. The victims were elderly women in the community who walked to the restaurant.

When asked what strategies were being employed to solve the crime series, he told about a stakeout his sergeant had organized three weeks earlier. The entire squad of six officers wore street clothes and sat in various locations throughout the neighborhood, hoping to catch the robbers. They were unsuccessful.

When asked what he was going to do next, he said he was waiting for the sergeant to come up with another strategy. It was obvious the sergeant was not assertive enough in expressing his expectations for officers to practice problem-solving. Community-oriented policing relies on problem-solving strategies developed at the street level. These strategies must be designed around all sides of the crime triangle: victim—suspect—location.

Officers must feel as though the sergeant supports their efforts and can even brainstorm with them to generate new approaches, test them, and evaluate their effectiveness. In this example, the non-assertive sergeant was developing a passive squad of officers.

The old style of policing required little feedback from supervisors about cooperative team or innovative performance. Officers were merely expected to answer radio calls and engage in an acceptable level of reactive enforcement. It is very easy for the sergeant and officers to fall back into this passive relationship where no one is challenged to be innovative and solve the problems that contribute to criminal activity.

Community-oriented policing expects all police personnel—from the chief of police to the street officer—to be leaders in the community. Leading other agencies and community members in

problem-solving strategies requires being open enough to share feelings, ideas, opinions, beliefs, and points of view without offending others or being seen as too pushy.

Self-Control: A Worthwhile Responsibility

A major goal of personal development and the key to effective assertiveness is self-control.

It only makes sense that the more self-control people possess, the better they will be able to use the abilities and skills that are at their disposal. Self-control is achieved through knowledge, practice, and maturity. For individuals

to develop tennis skills, they need to exercise control over their body on the tennis court. The same is true for personal relationships, in that those individuals who have solid relationships usually also have self-control and interpersonal skills.

A very important part of controlling self is self-discipline. Egan (1977) states,

Discipline means, at least in part, self-control. A person is disciplined if he or she makes whatever sacrifice is necessary to achieve a goal. Thus, discipline often involves some kind of hardship—doing things that aren't pleasant and giving up things that are.

This kind of self-control and self-sacrifice is an essential ingredient for personal satisfaction and successful relationships. Individuals who lack control over their frames of reference become more self-centered and tend to have shallow relationships with others. People who behave assertively rather than aggressively or passively tend to be more in control of self.

People who are passive tend to go to the other extreme; they often over-control their frames of reference to the point of self-suppression.

This occurs because these individuals accept both their rights and their responsibilities. They do not aggressively take what belongs to others or passively let others blame them for what is not their responsibility. Assertive individuals think of others as having equal value and attempt to treat them as they would like to be treated.

On the other hand, people who are aggressive are usually not in control of their thoughts, feelings, and behaviors. They either cannot or will not take charge of their frames of references. Therefore, they have trouble controlling their actions and others suffer as a result. They suffer also. These types of individuals are labeled aggressive or hotheads, because they attempt to take others' rights away from them so they themselves can have more control to get what they want.

They also attempt to make others assume their responsibilities so they will not have to do so. These individuals often put themselves before and above others.

People who are passive tend to go to the other extreme; they often over-control their frames of reference to the point of self-suppression. They place others before themselves even if they (or others) have to suffer for doing so. While this sounds noble, often it is for selfish reasons. Passive individuals, like those who are aggressive, are most worried about their own needs first and others' needs second.

Notice some of the qualities, behaviors, and skills of the three style characteristics in the chart of interpersonal style characteristics on the following table.

Interpersonal Style Characteristics			
	<u>Aggressive</u>	<u>Assertive</u>	<u>Passive</u>
Qualities	Insecure	Secure	Insecure
	Insensitive	Sensitive	Oversensitive
	Domineering	Respectful	Submissive
	Impatient	Patient	Patient
	Self-oriented	People-oriented	Other-oriented
	Win-Lose attitude	Negotiable attitude	No-Win attitude
	Dishonest	Honest	Dishonest
	Decision-maker	Decision-maker	Indecisive
	Unreliable		Reliable
Behaviors	Verbal/physical abuse	Reliable	Manipulative
	Liar by distortion	Respectful	Negative messages
	Power-oriented	Communication	Liar by omission
		Truthful	
Skills	Physical	Respect-oriented	Escape-oriented
	Verbal	Centered	Attends
		Attends	Observes
		Observes	Gives
		Listens	Listens
		Understands	
		Communicates	
		Challenges	
		Solves problems	

TL Skill #23. Confrontation: Telling People the Truth about Unacceptable Behavior

Assertiveness is mainly concerned with presenting yourself honestly and realistically in tight social situations. Confrontational communication, conversely, is more focused on other people's problem behaviors or attitudes and the need for them to change to be more effective with their supervisor, in their jobs, in their own lives, or with others.

Sometimes it is important or even necessary (in the case of performance reviews) to give critical feedback to others about how their behavior is ineffective, stressful, or inappropriate. This is a difficult skill to perform effectively. It requires development of a certain level of trust in the

relationship before others will receive your feedback in a positive manner and consequently engage in positive change.

In a sense, the right to confront must be earned by demonstrating a caring attitude to others ahead of time, regarding their development as individuals. They need to be shown a genuine desire to develop a relationship with them, an attempt to build rather than tear down, and a willingness to accept confrontational feedback as well as offer it.

Get Agreement to Confront in Advance. It is possible to get agreement in advance with others that the relationship with them will be characterized by genuineness and honesty for the purpose of mutual personal development and for the purpose of developing work or a personal relationship with them. With this advance permission, giving difficult feedback can be easier and more effective. The predominant culture in an organization can be honesty about difficult things, with a firm resolve to deal with them quickly.

Also, using confrontation and responding with understanding skills can assist others to process confrontational feedback to them. This can be helpful in defusing the stress and tension often involved in giving and receiving feedback.

This skill is the riskiest of all communication skills and is actually least likely to succeed. If the maturity or personal security of the person being confronted is marginal, he or she will likely not handle confrontation very well. In such cases, it is advisable not to confront but to use challenging skills (Skill #24), if possible. Sometimes it is necessary to confront people with the ultimatum that they must either perform to expected standards or face negative sanctions.

In policing, accountability of individual officers has always been a fundamental issue for executives. Holding police officers accountable for acceptable behavior and confronting unacceptable behavior, however, was much easier in the traditional model of policing.

To go against the dominant thinking of your friends, of most of the people you see every day, is perhaps the most difficult act of heroism you can perform.

Theodore H. White

Measuring arrests, traffic tickets, and field interviews was the primary means of measuring productivity and effectiveness. Much of an officer's activity was reacting to calls for service. An officer could be successful in meeting expectations by answering radio calls and performing a minimal amount of proactive enforcement activity.

Even managers and front line supervisors were held to a simpler level of performance under traditional policing practices. As Trojanowicz and Bucqueroux (1994) observed, under a paramilitary, authoritarian model of management, the focus was on control. Management determined the department's mission and dictated strategies and tactics. Management set forth and enforced the policies and procedures and described how the work was to be done by those at lower levels in the organizational hierarchy.

Managers were judged on the basis of how well their employees followed the rules and whether the managers succeeded in improving productivity—defined primarily as answering more calls and making more arrests.

Kelling *et al.* (1988) also observed that the style of management practiced in the professional model of policing emphasized top-level decision-making. Orders from executives were passed down to line personnel; information exchange went primarily up the chain through dense layers of supervision.

Confronting unacceptable behavior is much more difficult today. Acceptable behavior is much more complex and demanding. Being successful at community-oriented styles of policing involves a change in attitudes as well as developing new, complex performance behaviors.

Police officers are now much more educated than in years past. Even though they have to put on a strong, rough exterior at times to survive, officers are often sensitive to personal criticism. They are frequently judged and evaluated on their ability to be independently successful, either in the arrests they make, the crimes they solve, or the quality of their individual testimony in court. Police officers are continuously in the individual spotlight. They are also expected to respond to calls for help, be sensitive to the needs of others, and solve complex problems in the shortest period of time.

The movement to community policing requires street-level officers to work more in teams, be less reactive to calls for service, and possess the interpersonal skills necessary to bring non-law enforcement resources together in problem-solving efforts. Success in many police departments is now being measured by successful problem-solving efforts, developing new partners in crime prevention, and reducing the fear of crime in neighborhoods.

Officers and deputies are encouraged to take risks and be pro-active in crime prevention. All these new expectations present new challenges to supervisors and managers when confronting unacceptable behavior.

A clear example of confrontation occurred when a new police chief came into office and discovered that a “good ol’ boys” network of several sergeants was demoralizing many of the younger recruits. They justified their treatment of the younger officers by saying, “That’s the way we were initiated into this organization.”

As the new chief interviewed some of the subordinate officers, he found the sergeants were awarding overtime hours to their long-time friends and treating the younger officers with disdain. They were also giving them the more dangerous and difficult assignments without adequate supervision or backup.

When the chief corroborated these practices were typical of 20 percent of the sergeants, he called them into his office, one by one, in the presence of his deputy chief as a witness. He

confronted them with the unacceptable behaviors, asked them to acknowledge or deny the allegations, and made it clear to them that they would be fired if the behavior they acknowledged continued.

Over a period of one year, the chief fired several sergeants for continuing these dangerous and morale-destroying actions. The other sergeants confronted for their behavior changed their approach and engaged at least satisfactorily in upholding the new values of treating all employees with dignity, respect, and equity.

The 4-to-1 Law

As soon as it is communicated verbally or non-verbally that someone has little or no value or worth, it is unlikely the confrontation will produce positive results in the short or long term.

For people to receive bad news and internalize it, take ownership of it, and change their behavior, they do need to know they are seen as having worth as individuals and that their worth is a separate issue from their value to the organization.

Experience in giving confrontational feedback reveals the following results are true for the average person.

1. They can process fairly well one negative confrontational statement if it is prefaced with four positive statements about how positive past behavior is valued.
2. They can tolerate two negative statements when they are prefaced with three positive statements.
3. They can barely process three negative statements when they are prefaced with two positive statements.
4. They cannot process four negative statements when they are prefaced with only one positive statement.

This 4-to-1 law is supported by research, but it is really common sense when considering the feelings experienced when receiving negative feedback. Perhaps this is where the Golden Rule applies very strongly: Would we treat others the way we would like to be treated if they were confronting us, especially if they were to have position-power over us?

Finally, leadership in this delicate situation can be positive if a person, regardless of past behavior, is told in various ways that he or she has worth and that there is a willingness to work with that person to increase his or her value to the organization.

As soon as it is communicated verbally or non-verbally that someone has little or no value or worth, it is unlikely the confrontation will produce positive results in the short or long term. When an insecure person observes others doing head shaking, frowning, and rolling of the eyes. —he or she can experience feelings of low self-worth.

The following sample formats for the language of this skill can be used as guidelines to assist in the planning of a confrontation with someone.

- “I appreciate (specify behaviors) that you do well.”
- “I appreciate (specify behaviors) that you do well.”
- “I appreciate (specify behaviors) that you do well.”
- “I appreciate (specify behaviors) that you do well.”
- “You have been observed doing (specify unacceptable behaviors).”
- “Of which, if any, of these behaviors do you take ownership?”
- “If you continue to do (unacceptable behaviors), the consequences will be (specify reasonable consequences).”

These formats are guidelines to assist in formulating statements that are factual and without blame in their tone. They help focus on the issue of the individual being confronted taking ownership of behavior, getting the message across that the behavior is not acceptable, and providing clear understanding of the consequences of continuing the unacceptable behavior.

Of course, the consequences must be in line with labor laws and personnel policies and procedures in the workplace and cannot be arbitrarily assigned.

TL Skill #24. The Skill of Challenging: Helping Others to See Strengths and Opportunities and Move Towards Positive Change

Challenging is a skill especially reserved for encouraging people to look at unused opportunities or personal strengths, thus stimulating them to take positive action. This skill differs from confrontation—which confronts smokescreens, blind spots, performance deficits, weakness, or discrepancies—in that it is focused more on the positive potential of other people and the hidden or unseen creative opportunities that exist within their current relationships or environments. This skill is also less risky and easier to handle for those on the receiving end.

An example of this skill in action is a police chief who met one-on-one with all 60 supervisory officers in his policing organization. His deputy chief was also present in those very positive interviews. The chief's goal was to recognize the worth of each dedicated officer, acknowledge specifically his or her value to the organization, and make it known to each officer that he personally appreciated the individual's good work, support, and continuing commitment.

In each of these interviews, personnel files were reviewed beforehand; specific, positive feedback was given for all past achievements, length of service, heroic behavior, and loyalty to the force and the community. Later in the year, plaques were given to all officers in leadership positions for their exemplary service, including the officers who had been given formal warnings as per the discipline policy at their agency.

Career-path planning sessions were held during the chief's second year to give encouragement and feedback to all those seeking promotions in the organization. The officers were given opportunities to plan for further training that would prepare them to compete more effectively for promotional opportunities.

Conflict Management: Putting the Communication Skills Together

Conflict management is a carefully designed intervention that alters the form of conflict so that the benefits of the conflict situation are maximized and dysfunctional outcomes are minimized.

Contrary to popular belief, conflict management is not the removing of conflict. It is a carefully designed intervention that alters the form of conflict so that the benefits of the conflict situation are maximized and dysfunctional outcomes are minimized. When managing an interpersonal conflict, all the skills examined in this chapter must be utilized to the fullest to have as positive an impact as possible.

Conflict management involves managing your own frame of reference and feelings, words, wants, and needs. It is assisting the other person to feel respected and yet understanding the other's position at the same time. This is why the conflict management process is the most difficult of all applications of the interpersonal skills. Often, it is managing your half and the other person's half of the relationship at the same time. This is the case because many people do not have well-developed interpersonal skills.

Research on conflict management (Burke, 1977) has produced a general list of methods used in managing conflict. These methods, which form parts of the interpersonal conflict-management process, are outlined as follows.

1. Forcing

Using power to cause the other person to accept a position. Each party tries to figure how to get the upper hand and cause the other person to lose. This coercive approach by the person with the greater power base almost invariably leads to negative outcomes. There are times, however, when it is necessary, such as when a quick resolution to a situation is imperative.

2. Withdrawal

Retreating from the argument. This is useful where interactions have moved from a task orientation to a personal orientation. In other words, it is getting personal. This is not a long-term strategy.

3. Smoothing

Playing down the conflict (differences), emphasizing the positive (common interests), or avoiding issues that might cause hard feelings. Caution needs to be used because this may cause greater conflict when one party begins to see an opportunity for greater gains in the conflict.

4. Compromise

Looking for a position in which each gives and gets a little, splitting the difference if possible. No winners and no losers. Although the perception is of no winners and no losers, compromise only works if both parties give up something, thereby potentially creating a sense of loss on both sides. It is effective when problem-solving is not a viable option.

5. Confrontation and/or Problem-Solving

A problem-solving approach to conflict management is the ideal choice to implement when attempting to resolve most conflicts.

It is important to direct our energies toward defeating the problem and not the other person. Encouraging the open exchange of information; discovering the best solution for all. The situation is defined, the parties try to reach a mutually beneficial solution, and the situation is resolved as win-win.

A problem-solving approach to conflict management is the ideal choice to implement when attempting to resolve most conflicts. It should be your first choice. If it does not work, back off to the fourth method, compromise, and so on.

In the problem-solving approach, it is best to begin communication in the following way.

1. Make a date to communicate with the person with whom you are having a conflict. Instead of releasing your tension and demanding that the problem be solved now, set a mutually convenient time.
2. Whenever possible, take into consideration your personal style and the other person's style; get ready to shift styles, if necessary, to encourage the other person to engage in two-way communication and problem-solving with you.
3. Agree together on a clear definition of the problem by redefining it several times from one another's point of view, using listening and understanding skills. Express your own point of view when the other person is able and willing to listen or the session will turn into a power struggle (a Lose-Lose position).
4. Agree on mutually satisfactory goals for your session. At the beginning of the session, state and come to consensus about what you hope to achieve so there are no gaps in expectations that can lead to disillusionment or bitterness. Be very specific about the outcomes agreed.
5. Take turns sharing honestly, in a non-blaming tone, each participant's views, needs, wants, etc.
6. Explore alternative solutions to the problem that could be potentially satisfactory to both parties. Consider the consequences of each alternative, both short and long term. List the pros and cons of each alternative.
7. Agree to an implementation plan for the agreed solution(s) by deciding together who will do what, when, where, etc. Be clear about who carries the responsibility. Set a date to review how the plan is going and to see if any adjustments need to be made for the plan to work better in the future.
8. When you cannot agree or come up with a plan that is satisfying to both parties, it is acceptable to negotiate time for re-evaluation and then plan another meeting.

-
9. After a time of further exploration, if a solution is not forthcoming, then withdrawal from the situation, putting the conflict into the hands of others for management, or proceeding in your own direction may be the only possible alternatives.
 10. There are always consequences to pay when you decide to walk away, get help from a mediator or person in a position of authority, or just take your own course of action without compromise. Weigh the consequences carefully before acting. You want to be as constructive as possible without giving up your own sense of integrity.

Conclusion

This chapter examined interpersonal communication skills, in particular from the point of view of establishing a base of mutuality, respect, and openness in personal and work relationships. The most respected leaders are those who are honest without putting others down, are willing to solve a problem so that as many people are respected as possible, and who show caring about other people without being manipulated.

The next chapter examines the skills of coaching, counseling, and problem-management. These skills and the counseling/coaching role differ in character in that it is often difficult to maintain a mutual positive tone in the relationship during a formal counseling session that is support or discipline related.

In coaching, counseling, and problem-management, the Transforming Leader exercises a more direct influence and accepts even more of the responsibility for facilitating communication and the problem-solving process.

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5 Coaching Skills for Problem and Opportunity Management

Introduction

The awareness and communication skills in the previous two chapters are pre-requisites to the successful performance of the skills in this chapter. For these more advanced skills to work well, they must be applied frequently until mastery is attained. Through experience, as you integrate new skills into your own style, activities will not seem so broken into small “micro-skills” and will flow more naturally.

In organizational change, the boundaries between coach and player blur. Leaders must give as well as receive high-quality help. One way to do this is to establish a cadre of coaches in which people can learn how to coach by helping others.

Peter Senge

This chapter is divided into two parts. The first part defines and examines how to apply each of the 12 Transforming Leadership skills included in the problem-management skill set. Whenever we use the term problem-management, we also want you to think of—and find leverage to—manage unused opportunities, as well.

The second part of the chapter explores the applications and processes involved in problem- and opportunity-management when using the following 12 skills.

The following Transforming Leadership skills are defined and applied in this chapter.

TL Skill #25	Advanced Empathy	Page 147
TL Skill #26	Problem Exploration	Page 148
TL Skill #27	Problem Specification	Page 152
TL Skill #28	Problem-Ownership	Page 154
TL Skill #29	Goal-Setting	Page 156
TL Skill #30	Goal-Ownership	Page 158
TL Skill #31	Action-Planning	Page 159
TL Skill #32	Implementing Action Plans	Page 161
TL Skill #33	Confrontation	Page 162
TL Skill #34	Self-Sharing	Page 164
TL Skill #35	Immediacy	Page 165
TL Skill #36	Referral	Page 166

All the problems of the world could be settled easily if men were only willing to think. The trouble is that men very often resort to all sorts of devices in order not to think, because thinking is such hard work.

Thomas J. Watson

Many times, leveraging opportunities is far more powerful and effective than trying to solve persistent problems that won't go away fast or easily. If you have completed the Transforming Leadership skills assessment, you may want to pay special attention to those skills in which you showed strongest and weakest.

The term **problem-management** is used to clarify the competency cluster foundational to the three important, distinctive roles and activities of effective leaders: coaching, counseling, and mentoring.

In coaching, counseling, and mentoring relationships, the same generic problem-management skills are used to help people become more effective at learning to work through change, solve various types of problems, and manage unused opportunities. In police, justice, security, and public safety environments, these skills can be used with yourself, other individuals, teams, organizations, and communities.

It is amazing what you can accomplish if you do not care who gets the credit.

Harry S. Truman

They are important aspects of the practice of Transforming Leadership because these skills can help move individuals, teams, and organizations toward greater self-understanding, self-responsibility, and performance. Each leader is challenged by the demands of the complex and leader-sparse environment to develop these skills for personal use and encourage others to develop and perform them to their full potential. The result of developing these skills will be, to some extent, personal, team, organizational, and community development.

An example of a profession where there is significant need to develop these skills is the movement toward community-oriented policing models. Many policing agencies are either failing to successfully move toward a community focus or are progressing far too slowly because of a lack of skills in communication, counseling and problem-management at various levels in the organization. Moving too slowly encourages many officers to fall back into traditional law enforcement styles and become slavishly reactive only to calls for service.

At the same time, moving too quickly leaves many in the organization feeling as though they have been left out of the change process; resistance becomes an all-too-common consequence. The behaviors exhibited by both groups may look similar. Without competency in the counseling and problem-management skills, many good employees will be less effective or even become cynical because they will find their interventions do not produce very positive results.

Officers who have this skill set can be efficient and effective when orienting, training, and coaching volunteers. They are more effective in face-to-face encounters with other officers and with difficult people on the job. These skills apply in community corrections, volunteer fire fighting, security, and a wide range of other environments. They are the foundational skills for the development of any effective or high-performance team.

Personal applications of the skills in this chapter include self-examination and problem-solving (problem-solving with oneself) and assisting family members to gain self-understanding and leverage unused strengths to solve problems they may encounter in everyday life. These skills may also be used with peers in organizations so that people in these settings can become more effective and enjoy a greater sense of well-being.

Corporate applications may include counseling, coaching, and mentoring others who may need assistance in overcoming blocks to performance, help in dealing with personal or work-related crises, or guidance in career planning. Problem and opportunity management skills are necessary prerequisites to effectively coaching others' performance and mentoring them to facilitate their long-term personal and career development.

Putting an End to Some Confusion about Coaching, Counseling, and Mentoring

There has been a great deal of confusion about the differences in counseling and coaching and mentoring. As stated above, it is simple and clear to think these three unique types of relationships require the same generic set of problem- and opportunity-management skills.

Another feature the three roles have in common is they occur in the context of a formal or informal agreement with another person, with whom it is your role to engage in solving problems in a specific way. The agreement on the terms of relationship will occur during the process of your work with others.

Coaching is most often shorter term and job-performance-related, but can be longer term, if there is agreement for it to be so.

To many people, counseling, coaching, and mentoring are just different words that describe the same thing. This is untrue, confusing, and often causes problems with conflicting expectations between leaders and their team members, bosses and employees, parents and children, etc.

Therefore, the following definitions of coaching, counseling, and mentoring are presented. In examining these definitions, notice how the problem-management skills apply to all three of these distinctive ways of helping others to self-examine, leverage strengths, remove obstacles to change or growth, and move ahead to greater learning and performance.

As a brief introduction:

- coaching is shorter-term learning that is a part of a field-training program or promotional orientation;
- counseling is longer-term support for change in difficult performance or morale areas; and
- mentoring is often long-term and more formalized as a mutual agreement for a more experienced senior person to "take a younger person under his or her wing" that can last months or years.

Now we will look at clarifying the practical and useful distinctions among the three roles.

Understanding the Coaching Relationship and Role

Coaching is most often shorter term and job-performance related, but can be longer term, if there is agreement for it to be so. For example, supervisors do performance coaching with their subordinates to orient them and get their performance up to acceptable levels on certain tasks. This is the transfer of knowledge through a process of instruction, observation, and feedback.

The coaching relationship may be one between an individual and a peer, such as a field-training officer, between the individual and the supervisor or manager, or between executive coach and executive. If it is the supervisor's job to coach, there should be an agreement between the employee and the supervisor that coaching will take place and when it will take place.

There should also be agreement about how coaching is defined and what it hopes to accomplish. Although the supervisor has the power to provide direction and feedback—by virtue of the formal supervisory relationship—the coaching relationship is more personal and is not, by its supportive nature, authoritarian in approach.

Although the relationship is primarily focused on coaching for continually improved performance, the relationship may shift into a more personal counseling relationship at any time, if circumstances require and the supervisor is skilled to deliver such service or refer the employee to a professional.

Or, as more recently revealed in coaching literature, the coaching relationship can be less formal and less structured; an individual in the organization may ask other staff members to assess how he or she is performing a skill or task and ask them to model that skill or task and coach the individual toward competency.

Aside from a healthy dose of skepticism about the efficacy of coaching, a number of certification programs and research projects are attempting, with some success, to legitimize coaching as a viable profession. If you are interested in learning more about coaching, including a continually updated annotated bibliography, you'll find a wealth of resources at <http://www.peer.ca/coachingnews.html>.

Understanding the Counseling Relationship and Role

Counseling is more personal in nature than coaching. The counseling relationship is also based on the role you have assumed in your organization. As an example, as a supervisor or manager, there is an expectation, implied or explicit, that people will be engaged in conversation of a personal nature where assistance is required to resolve performance problems that relate to personal or family issues . . . if the issues do not require long-term therapy.

This is especially true of small businesses or smaller organizations where co-workers, supervisors, or owners do counseling in the workplace. This can be true when the nature of the

problem is not perceived to be beyond the employee's control, such as a tragic loss in the family or a marriage in crisis.

Counseling relationships in larger companies and government organizations often occur in the context of employee assistance programs (EAP) or when an employee seeks psychological assistance during a time of distress. It is possible for a wide range of people to provide good, skilled counseling even though they have not had extended formal training in counseling.

Perhaps one of the best learning experiences people can have is when, at the right times in their lives, a mentor appears and helps them learn exactly what they need to know to succeed.

The *caveat* to this is that it is always better to refer to a trained professional counselor if the event is significantly traumatic, there is potential for harm, potential legal issues are involved, or if longer-term counseling is required.

It is possible, however, to learn to be effective in practicing the effective short-term problem-management skills outlined in this chapter and thereby function effectively in the counseling role when it is appropriate to do so.

Counseling has established itself as a credible profession; in the past 25 years, counseling skills have been taught in business schools, medical schools, teacher education programs, criminal justice programs, social work programs, and a host of other disciplines.

Perhaps the most integrative and eclectic model—and the most utilized counselor-training program—is based on Gerard Egan's book, *The Skilled Helper* (2017)^{xxxii}. This chapter and the previous one introduces some of the basic skills contained in Egan's model; we recommend that you read, study, and learn more about this fascinating field. The research that undergirds the skills in this book is fascinating as well and you can read about it [here^{xxxiii}](#).

Understanding the Mentoring Relationship and Role

Mentoring can be both formal and/or informal. Where coaching is a process of instruction, observation, and feedback, a mentoring program is based on a concept of 'watch and learn'.

Mentoring has long been a credible role for leaders to play. Only in the last 20 years has it gained credibility as a viable way to develop leaders and build corporate culture.

Perhaps one of the best learning experiences people can have is when, at the right times in their lives, a mentor appears and helps them learn exactly what they need to know to succeed. This may happen by providence or by chance or by an individual seeking out a mentor.

More often and more preferably, a formalized mentoring program is built into an organization's strategic plan as a part of the culture, so that people, especially leaders or potential leaders, are mentored. Mentoring programs identify those who would be the best mentors and pair them with those with the greatest potential for promotion, to provide formalized mentoring.

Specific goals are set for the *protégé*'s development. Often, the mentor and *protégé* make a commitment to work together for a year or more. The relationship is free of any formal job-performance evaluation.

Mentoring has long been a credible role for leaders to play. Only in the last 20 years has it gained credibility as a viable way to develop leaders and build corporate culture. Although there isn't a profession called "mentoring," many competent mentors are mentioned in this book. Perhaps the true test of mentors' capabilities is in their reputation in their organizations.

Two world leaders in mentor development, mentoring program implementation, and assessment and learning resources are Dr. Bill Gray and Marilyn Miles Gray at The Mentoring Institute. A powerful approach to coaching and mentoring has been developed by the Grays (see www.Mentoring-solutions.com).

In this program, all employees register their competencies and learning needs and are matched by the software to set up learning connections and opportunities with one another or with external, reputable, or certified coaches or mentors.

Another rich resource for understanding and learning more about mentoring can be found at <http://www.peer.ca/mentor.html>.

The Blending of Roles and Shifting of Styles

Coaching, counseling, and mentoring can all occur in the context of the same relationship; there can be overlap among the roles. This can seem confusing at first, but if you are clear about the distinctive roles you can play with others, you will avoid the pitfalls of not knowing which role is the most appropriate for the person you are working with. Often it is helpful to clarify what role is being agreed to by both parties. Being aware of what you are doing in this regard makes your performance much more professional and effective.

In Chapter 7, we will get into greater depth on the importance and complexity of practicing such style-shifting, role-shifting, and skill-shifting, based on the style, willingness, and readiness of the person with whom you are working in a mentoring relationship.

In brief, if it appears to the coach or mentor that it would be beneficial to shift into a counseling role for a period of time, then it would be helpful to get agreement with the other person for that role-shift. That way, both people are clear and misunderstandings are avoided. It is also possible and sometimes very effective to agree with the other person that you are going to drop all roles and just be person-to-person with one another.

While there is some risk in this approach and it makes many people uncomfortable at first, it can be a very candid, effective, and fast way to get to the bottom of issues and deal with them

swiftly. This can happen more easily when trust is developed and your basic competency as a leader has been established.

Understanding and Applying the 12 Problem Management Skills

These skills are presented with the idea that it is possible to be pro-active in the approach to managing and preventing further problems. It is also possible to divide the skills into specific language and observable behaviors that can be demonstrated, modeled, practiced, learned, and passed on to others. This approach to learning skills has been described as the micro-skills approach.

Learning skills in this micro fashion, however, can make the whole process seem mechanical or robotic. Therefore, when practicing or applying a particular skill, remember that each skill flows into another or they overlap each other and they do not always occur in any particular sequence.

Although the skills are presented below in logical and progressive order, the process of problem-management is fluid so that moving from one skill back to another, based on what the other person needs, is not uncommon. Genuineness is more important than perfectly performing each step of the process in order.

When learning any new skill, a person may feel awkward at first because it may be different from the way things were done in the past. When a skill is learned and is seen working, people will enjoy the power and ease with which they can assist themselves and others in the problem-management process. It can actually become enjoyable and challenging! One officer came to work and said, “now that we are doing root cause problem-solving I feel like I am not going to work, but going hunting!”

TL Skill #25. Advanced Empathy

Empathy is the capacity to be aware of, understand, and be sensitive to another’s feelings. With this capacity comes sharing thoughts with others about their experiences, behaviors, or feelings that can help them move beyond blind spots and develop the new perspectives they must have for breakthrough thinking to emerge.

Take care of those who work for you and you'll float to greatness on their achievements.

H. S. M. Burns

The skill of advanced empathy helps others express what they are implying; helps them identify themes in their stories; assists them in connecting islands of experiences, behaviors, or feelings; and helps them draw conclusions.

This skill is critical in facilitating deeper understanding in others, but must be approached with caution and respect because of the powerful and intensely personal nature of the material likely to emerge.

As an example of how this skill can work, a recently coached CEO continually complained about personal and work overload. He couldn’t keep up with all the demands, phone messages, email

messages, pager messages, meetings, and family obligations; he complained he had no time of his own. He was having difficulty sleeping, was losing weight, and was experiencing the beginning symptoms of depression.

The coach responded with deeper understanding of what this exhausted man was saying with his whole being when he said, "You seem overwhelmed to the point of losing hope because you realize you are caught in a pattern of overextending yourself that you can't stop." His response was a deep sigh and a big, "YES. That's it! I say 'Yes' to everything but I don't know why and I can't stop it. I am really making myself miserable living this way." The situation came together for him like the pieces of a puzzle and the light of truth went on. That truth set him free to make significant changes.

This somewhat mechanical but very useful language format illustrates how language can be structured to capture the feeling, the behavior, and the cause:

You feel (one feeling word) because you realize you are (accountable in some way for the consequences you now face).

This personal realization of a blind spot helped him later change his relationship with his wife, children, partners, and community. During the next few weeks, he clarified his personal purpose statement, dropped out of his over-enrollment in too many committees that did not fit his purpose, made his wife and kids a high priority in his daily time planner, and even took some time for himself to regenerate and relax.

After 26 years of living a compulsively driven life without a clear vision or purpose, all this change was precipitated by just one turning-point realization during an executive coaching session.

TL Skill #26. Problem-Exploration: Facilitating the Exploration of Others' External and Internal Problems

This skill requires that you first follow other people through their own understanding of their problem situation. Then, if they are ready or developed enough, you assist them to see the personal internal problems they are having with those external problems. Those just beginning to learn this skill often have a strong tendency to focus on the observed behavior or surface problem, rather than searching for the root cause of external problems.

It is important to remember that the observed behavior is often just a manifestation of the problem. It is about discovering the cause-and-effect relationship. What real problem is causing the observed problem? This step must be completed prior to setting goals, exploring alternative courses of action, and giving any advice from your own perspective. Understand the specific problem first—and its causes—then offer your perspectives and ideas only after the other

person's own ideas have been exhausted. The reason for this is simple and practical: People usually don't take others' advice unless it really fits their own understanding of their problem.

The facilitative process of helping others see and take ownership of problems is much like a quarterback leading a runner by throwing the football. If the ball is thrown too far ahead or too far behind, the receiver will be unable to catch the ball. It may be necessary to lead the conversation a bit, but only in the direction the other person is already going. Difficult but necessary confrontations, of course, are exceptions to this general guideline of passing the ball to people. The facilitator may offer perceptions about what he or she thinks is the real problem and sees if the other person can use that view of it—but only if doing this will not interrupt the other person's self-exploration process.

People receiving help—especially premature advice, before the problem is specified and owned—often find it more difficult to use ideas offered by others when they are busy trying to define and understand their own thoughts and feelings.

Following this advice will avoid the second-most-prevalent of the major problems that beginning problem-managers have: Failing to define the problem and giving premature advice. Perhaps the ideal time to share your idea of a definition of a problem with others is when they are stuck or when it is appropriate to add some alternative ways for them to consider a problem. Do this tentatively and watch—use observing skills—then check with the other person to determine the usefulness of the ideas or responses.

Do not assume that perspectives provided will be internalized and used by the other person. People usually do not take advice from others *carte blanche* and then act on it. Premature advice just reveals you do not know what you are doing and it makes you look like an amateur instead of a professional. Give focused input at the right time, when it can be seen to be relevant and useful.

The more thoroughly a problem is explored and the more specifically it is defined, the greater the probability a high-impact solution will be reached. The exploration of an internal or external problem with another person—or with self—begins by using all the communication skills outlined in Chapter 4.

As you understand meanings and feelings and define the situation that has occurred, you will begin to get a sense of a pattern or theme emerging.

As a base of understanding is created using the communication skills—especially the skills of listening and responding—this offers you a better position to formulate a specific problem statement using a powerful language format such as the following.

Now you realize you cannot/have not (specify what the person cannot or has not done) because (specify the reason), and that makes you feel (specify the predominant feeling, using one word).

Example: "Now you realize you cannot work on the project because you cannot enter the information, due to the fact that your computer is broken."

A somewhat different format that gets at the same issue is the following.

"You seem (identify the main feeling) ____ because you cannot (specify what cannot be performed) ____, due to (identify internal lacks or causes of the problem, ____ (that could be overcome, if identified)."

For example: "You seem angry because you cannot finish the project, due to the fact that you don't feel confident with computers."

Use these kinds of language formats to prevent yourself from going on and on in a longwinded manner and to help you keep track of which step you are engaging in the 5-Step problem-management process.

Example of a Problem-Exploration Dialogue in a Coaching Relationship

Here is an example of a problem-specification dialogue. An executive (Helen) was engaged in a dialogue with a manager (Merle), who was having a difficult time meeting deadlines. He turned in most assignments two weeks late. He had been a high-performing employee in his previous job, where he moved around and talked to people; he now had a job role where much of what he did was an audit function at his desk.

He had more critical managerial responsibility in his new role but less opportunity for innovation and human contact. He was also having medical problems in his family; his aging parents lived 1500 miles away and Merle didn't like the stress of living in a big city with all the traffic and smog.

Helen: Merle, I've noticed you have turned in several projects late during the past few weeks. Could we talk about this now or do you want to set up a time to meet tomorrow?

Merle: Yes, we can talk now. I know I have been late on three important projects, but I'm in a slump and can't seem to keep myself on track. I don't really know what is wrong.

Helen: I noticed you looked a bit stressed just now, Merle [a response to an immediate, observable feeling, to facilitate a supportive climate]. Your previous contributions have been on time and high quality. I want to do what I can to support you to continue the super job you normally do. [Recognizing previous strengths and achievements in the context of confronting weakness is respectful and supportive leadership behavior.]

Merle: I've even been avoiding trying to face why I am repeatedly late with the projects. It's been bothering me a lot since the first one was late two weeks ago. I just feel depressed and I don't know why.

Helen: Yes, when I have glanced at you during the past few weeks, I have noticed your energy level is down and you seem to be in a slump—sometimes your posture is actually slumped over, as it is even now. You seem to be sort of in pain, somehow. Does that fit for you? [A response to the predominant feeling non-verbally exhibited often facilitates a deeper self-disclosure.]

Merle: Yes. I feel pain in my neck and back when I sit down to do these projects. I thought I would be motivated in this new area, but now that I am into it, I don't find it challenging—it's too repetitive; I don't see any promotions sideways or up for quite some time. I feel trapped, like I'm just doing time here all day long, not using my talents as I was in my other role. [At this point, because she went out of her way to help Merle get this promotion, Helen could have become hooked and said, "But I thought you wanted this job, you jerk," but she did well and suspended her frame of reference.]

Helen: Okay, Merle, I think I am getting a clearer picture. Right now, you seem down on yourself because you haven't taken responsibility for processing this off-key feeling for over two weeks and you have allowed your performance to drop because you can't see any way out of your dilemma.

Merle: Yeah. I know I'm stuck because I said I would take on this job for two years. And I can't go back on my word.

Helen: So you feel trapped because you believe you can't have integrity if you change your mind, due to your high standards about giving your word?

Merle: Yes. If I say I'm going to do something, I do it. No whining.

Helen: So it's like you're sapped of enthusiasm because you can't see another way to maintain your integrity other than making yourself march through this job for a few years—even though you now realize it doesn't fit your goals and talents?

Merle: Is that what I'm doing? I'm not that rigid, am I? I guess I am. I think I want to do something about that. I don't think I am doing myself or this organization the best I can by being so rigid. What other options do I have? [Merle now recognizes and takes ownership of his part of the problem.]

Helen: I'm not sure because I haven't thought about it. Maybe we could both jot down some ideas between now and Monday and see what we come up with. Can we meet at 10:00 in the morning?

Merle: Yes, definitely. Thanks for supporting me on this one, Helen. It's not everyone who is willing to look at more than one way things can work out for the better.

Helen: I need to be in the right spot, too, if I am going to use my talents and enthusiasm to produce good results. I'm thinking about making a move in

about a year. I'll be ready for a change by then. Thanks for your trust in going through this personal area with me. Do you think you can get the report in on time tomorrow afternoon, now that we have a better idea of what is happening?

Merle: Count on it.

Helen: Thanks.

It Doesn't Have to Take a Long Time

The preceding sequence of problem-identification responses gives a clear idea of some interventions that may be appropriate in a 3 to 5-minute conversation. It does not have to take a long time to facilitate a person through the process.

In the long run, it will save many lost person-hours if Merle's performance improves, if he moves into a more appropriate job role, or even if Helen helps him find another company, so she can replace him with a person with a nature that fits the job.

TL Skill #27. Problem-Specification: The Most Complex Skill

The story is told of how Albert Einstein, when asked, how he would solve the problems of the world in 1 hour, replied that he would spend 55 minutes defining the problem and 5 minutes solving it. This specification skill is one nearly everyone has difficulty executing effectively at first.

Problem-exploration requires a complex set of qualities and abilities—patience; temporarily suspending personal perceptions, judgments, emotions, and premature advice; using careful empathic listening; a creative mind; and perceptual receptivity to the other person's non-verbal cues.

This is the case because problem-exploration requires a complex set of qualities and abilities—patience; temporarily suspending personal perceptions, judgments, emotions, and premature advice; using careful empathic listening; a creative mind; and perceptual receptivity to the others' non-verbal cues.

It also requires the **ability to craft language** that clearly defines the problem and a belief that the root causes of a problem should eventually be explored when the person being helped can handle greater depth.

Although difficult to master, the skill of problem-specification is very powerful in assisting others to move ahead in their understanding of their problems and solve them—which can improve their morale and their work performance.

When solving problems, dig at the roots instead of just hacking at the leaves.

The following is an example of language that can be appropriate for a problem statement a leading manager might make to a co-worker in trouble.

Anthony J. D'Angelo

“You seem to be saying you're depressed because you realize you can't stop drinking so much, due to the fact it's so difficult for you to face the painful reality of your wife's cancer.”

This complex sentence captures the essence of the emotion (depressed), the problem behavior (alcohol abuse), the difficult inner self-control problem (can't grieve), and the harsh external reality (his wife's cancer). The statement also contains no words that could be accusatory—just the facts as presented, for the most part. These statements are difficult to formulate; therefore, many people tend to oversimplify problems and give trite advice or standard answers they honestly hope will be helpful. However, practice using the language format above will result in your putting this skill together so that you have it mastered.

Problem-specification in policing, for example, is valuable when trying to understand why employees demonstrate counter-productive workplace behaviors. Their activity and commitment are low. They refuse to get involved in problem-solving efforts. An officer may shy away from engaging the community in a productive manner.

Every solution breeds new problems.

Arthur Bloch

Many supervisors jump to the conclusion the uncooperative officer is a malcontent. The reality may be the officer feels lost in this new concept of policing. Moving to community-oriented policing strategies is difficult. As a result, the police officer's job becomes more difficult.

And, of course, supervision becomes much more difficult, especially if the supervisor does not have coaching skills.

Officers are expected to look at crime problems from other than the law enforcement perspective. They may have been trained in the concepts of community-oriented policing but may not have had the benefit of proper leadership in the practical realities of implementation.

By identifying the problem accurately, a supervisor can work to develop strategies to address the specific underlying problem. This can result in retaining and further developing a once-valued employee. The important point of this skill is that without the specification of the real underlying problem that is manifesting itself as inappropriate behavior, no intervention will be successful in uprooting the prime cause of the problems that manifest visibly on the surface.

The More Solvable or Manageable Problems Are Best Addressed First

To increase motivation, it is essential that you first focus on problems with a high probability of being solved or managed effectively. Searching for supports in the environment, strengths within the person, and problem-solving potentials inherent within the problem itself are all important factors. Success will then more likely result. Picture yourself with a seven-foot-long and 1 inch diameter steel rod. You are hunting and scanning for a place in to get that lever under it so that the person you are coaching can gain leverage and roll a huge rock down the mountain by just using a moderate downward pressure of her or his right arm. That is what we are trying to help people do with this skill – find leverage that they didn't have before.

We all need the encouragement of early small wins. This is founded in the theory of reinforcement. Behavior that is positively reinforced (success) will continue at the same level or increase. Small successes will ensure that the problem-solving behavior will either continue at the current level or occur with greater frequency.

TL Skill #28. Problem-Ownership: Helping Ourselves and Others Own-Up

This is a difficult skill because many people often assume that if people were really motivated, they would “get the lead out” and solve the problem. When people see and take ownership of internal difficult and stressful problems, they are often bewildered. They can be temporarily mentally or emotionally frozen, unable to think or function well. Think of helping people see their deeper, root cause problems is like throwing a pass to the running quarterback...you want to throw it far enough ahead that he has to run for it in order to make some yardage. If you throw it too far ahead or behind him, he won’t be able to catch it. So, like all sports, the sport of leadership requires practice.

A primary task of problem-managing leaders is helping others take ownership of their part of an overall problem that the leaders believe the others can do something about. If people are unable to willingly and honorably take ownership of their part of a defined problem, there will be no positive change.

What if People Will Not Take Ownership of Their Problems?

The cause of this is often because they feel humiliated, ashamed, embarrassed, or fearful of not getting a hoped-for promotion. They may dread the pain of facing the problem and would rather live with the pain of the problem itself.

It may be a case of escalating commitment, where so much is invested in terms of ego that denial of the problem’s existence is the response.

As a culture of facing the truth about problems (and our personal responsibility in them) is created, a climate where mistakes or difficulties can be overcome and dealt with honorably is provided. It is even possible to create a culture where celebration and recognition can be given to those courageous souls who, with honor, face the facts and engage themselves in dealing with the problem.

If people are unable to willingly and honorably take ownership of their part of the problem, there will be no positive change.

The fact remains that some people will not take ownership, no matter what is done. In such cases, it is the job of a leader to act in good faith and continue to do his or her part in facilitating problem-solving even though others are frozen, unable, or just plain unwilling to face things.

As long as they have the leadership responsibility to work with people—and dismissal is not always an option—leaders must act in a positive way with the intention of resolving the problem and raising performance to acceptable levels – and beyond.

The following language format can be used to specify a problem so it facilitates ownership.

You seem to feel (one feeling word) because you can't stop (problem behavior) due to (internal cause of problem).

Once someone is assisted in crystallizing the language that captures the essence of his or her internal difficulties and obstacles, the leader is in a position to help that individual to set goals to overcome the internal difficulties causing the external manifestation known as “the problem.” Most often, external problems are caused by these internal difficulties, which must be dealt with before progress can be made.

*Welcome those big, sticky,
complicated problems. In
them are your most powerful
opportunities.*

Ralph Marston

This is where helping someone through this impasse can be very powerful in creating a climate where learning can occur. Some people are good at personalizing problems (taking ownership) so they can take personal action to solve them. Others are not as good at it.

An inability to personalize problems is most often an issue of personal development rather than stubbornness. Taking ownership is a cognitive process occurring at a conscious level. An inability to personalize can also be due to previous emotional abuse or learning disabilities.

Therefore, it is much more economical and effective to hire good problem-solvers in the first place than it is to coach and develop them to maturity and competence. If, however, we have to work with people who are not competent at present and who need to grow or be facilitated through this process, the problem-management process can work quite well.

*Problems are the price
you pay for progress.*

Branch Rickey

Jack Welch, CEO of General Electric, held morning meetings where he had managers go through this kind of processing of problems in a large group. He led the process himself. All those present dealt with emerging problems on a daily basis; they went through the problem-management process for each problem.

Sometimes people had to own-up to personal responsibility in front of the group. Sometimes Jack did. Those who did were honored and recognized for their courage and humility. Could this have something to do with the fact that General Electric is consistently one of the largest and most profitable organizations in the world?

One police chief practices this leadership team process with a “workout” kind of meeting on a daily basis; small problems get pinpointed, stay small, or go away. He is Ward Clapham, Superintendent of the Richmond Detachment of the Royal Canadian Mounted Police, Richmond, BC, Canada. Nearly half the trainees who go through field training at his detachment are transferred to other locations in the RCMP to make room for a new group of trainees.

For a full description of how Ward makes his approach to Transforming Leadership work, visit his site: www.WardClapham.com (and read Chapter 13 and Chapter 9). On this rare and authentically presented Website, you can find a wealth of reality-tested leadership and organization development resources that could apply to any justice or public safety agency or leader.

TL Skill #29. Goal-Setting: Identifying Realistic and Motivating Targets

The most important thing about goals is having one.

Geoffry F. Abert

Goal-setting is the “what to do” part of the problem-management process. Action-planning, the skill examined after goal-setting, is the “how to get there” part of the process.

Attacking high-yield problems, where there is opportunity for both personal development and improvement in external circumstances, is preferable to setting goals that will alleviate only a personal problem or improve external circumstances. It is essential to seek growth rather than simply re-establish the *status quo*. This is the case because personal difficulties can often cause problem situations and problem situations can cause additional personal difficulties.

The skill of goal-setting is important because it provides a focus for defining future accomplishments which, when reached, can ideally alleviate the problem inside a person and improve the external problem situation at the same time. This is called growth. Goal-setting is a practical, powerful skill for becoming a more intentional and successful person and for assisting others to do the same.

Goals should be specific enough to solve a defined problem and give direction for action. The most effective goals statements have the following attributes.

1. Measurable and verifiable
2. Realistic and achievable, within a reasonable and specified time
3. Genuinely owned by the person with the problem
4. In accord with the values and beliefs of the person (congruency)
5. Clearly envisioned and attractive enough to be motivating
6. Desirable enough to give rise to genuine commitment
7. Evaluated on an ongoing basis to check for realism

Thus, specific and careful goal-setting that challenges a person’s own unused potential or that of others can be difficult to specify. Often, people offer one another premature advice or pat answers.

Goal-setting requires time and careful consideration for effective formulation. By providing yourself and others with a clear sense of direction for managing problems, stress can be alleviated and constructive action, increased energy, and improved performance can result.

Give me a stock clerk with a goal and I'll give you a man who will make history. Give me a man with no goals and I'll give you a stock clerk.

J. C. Penney

An example of a clear goal statement is the one Merle made to Helen during a subsequent meeting, when he realized that for a number of reasons, he had to change jobs and geographic locations. After Helen and Merle met the following Monday morning, Merle not only realized he was disillusioned with his new job role, he also faced the fact that he did not want to live in the city where he was presently located. He wanted to move closer to his aging parents and to live in a city where pollution would not be such a problem.

His problem was related to a complex set of factors pushing him away from the job he was in and away from the company. After Helen helped Merle sort through a clearer understanding of these factors, she helped him restate his problem as a career and life-planning challenge.

Merle then formulated his own goal statement based on the increased clarity he found through his dialogue with Helen:

“I want to explore other cities with affordable housing, clean air, an emphasis on families, and ample career opportunities so I can move and begin my new life by next summer.”

Note how clearly the goal is defined here, with a timeline. Merle’s values are considered in the statement. Helen did a good job of helping Merle be quite specific and concrete in his goal-setting.

Instead of keeping Merle in the same job or switching him to another job in the same company in a city where he did not want to live, Helen began searching for another employee who could better fill Merle’s position. She is likely to see an overall increase in team performance if she does more careful staff selection, for that same position and other positions, the next time she has the opportunity.

Another example of goal-setting is the narcotics lieutenant who gave up his preferred assignment to accomplish specific goals he set for himself to get promoted to captain. He decided he needed to become more knowledgeable and technically proficient in specific areas. He volunteered for a less rewarding assignment (no take-home car, no special investigations pay, no overtime). In his new assignment, he developed some new skills within the two-year target timeframe.

When he failed to be promoted to the next available position, he set new goals and moved to another assignment. When he was in the process of requesting his next assignment, he considered the opportunity to demonstrate the new skills he had developed. He set new goals in his new assignment and began working on strategies to achieve them.

Regardless of his reaching his goal of promotion, he challenged his own *status quo*. He became a much more valuable employee. His confidence and enthusiasm were enhanced and his improved performance and contributions to the organization were recognized. In this case, his goal-setting paid off with a promotion to the rank of captain within months of his new assignment.

TL Skill #30. Goal-Ownership: Securing Ownership to Get Commitment to Action

A goal is a dream with a deadline.

Napoleon Hill

It is important to facilitate others to take ownership of goals that will resolve their part of the overall problem being faced. Experience has shown that until people come up with their own language to move ahead successfully, they do not change their approach much or perform very differently.

Although some people are visual, it still seems that language locks goals into most people's action systems. Some observations indicate that written goals are more likely to be achieved than goals simply thought or spoken.

Almost every business course includes the story of a study of the 1953 graduating class at Yale where, 20 years after graduation, it was determined that the 3 percent of students who had written specific goals were earning more than the other 97 percent combined. Goals that are prioritized are more likely to be accomplished than those on a long list of things to be achieved "someday."

If we are always working primarily on our top three or four goals, we are more focused, less distracted, and more successful. Goals for which a timeline is established are also more likely to be achieved. If coaches want clients to commit to action, they will help those clients set goals that follow the specificity guidelines set out here.

Without individual commitment, any plan for meaningful change is subject to failure.

The movement to community-oriented policing strategies requires personal and organizational goal-setting and ownership. The best strategic plan and commitment from the top of an organization will not guarantee a successful change to community policing. In fact, without individual commitment, any plan for meaningful change is subject to failure.

It's just too easy to fall back into the comfort zone of traditional policing. All ranks in the organization need to set individual goals that are in line with organizational goals. They must then use their leadership skills to assist subordinates to do the same.

As an example of goal-ownership, a large police department with a 40-person command staff spent months developing seven organizational goals. They used a strategic planning process to develop objectives and strategies for reaching the seven goals. When over 100 new strategies were developed by hundreds of people inside and outside the organization, the command staff prioritized the top 20 strategies and assigned staff names to their top five priorities.

The leader is one who mobilizes others toward a goal shared by leaders and followers.... Leaders, followers, and goals make up the three equally necessary supports for leadership.

Gary Willis

In this way, each had a vested interest in the success of reaching those goals. Each could be called upon individually to support specific strategies as the implementation phase began. Throughout the next year, all command staff members regularly reported to one another on the progress of their respective strategies.

TL Skill #31. Action-planning: Exploring and Evaluating Specific Pathways for Achievement

Failing to plan is planning to fail.

Alan Lakein

Once a goal has been defined, it is time to examine alternative pathways to reach it, followed by the development of a realistic plan to implement that goal in a step-by-step fashion.

Exploring Alternative Strategies to Reach the Goal

Here are some of the reasons people fail to achieve goals.

1. Unclear strategies for the specific steps required to achieve the goal
2. Steps too large for the timeline
3. Lack of required material resources
4. Lack of human resources
5. Lack of emotional support

Therefore, it is important to ensure that all possible alternative strategies are explored and evaluated before one strategy is decided prematurely and without consensus. People only implement what they agree to implement.

Often, there is a better way to reach a goal but people tend to do what is familiar and not explore other options thoroughly enough to evaluate action alternatives that are potentially better.

Being exhaustive in searching out alternative courses of action almost always reveals attractive, motivating, and encouraging steps not previously clear.

Thoroughly Evaluating and Prioritizing Strategies Based on Values

As alternative strategies are being explored, it is important to evaluate how they fit your own or others' values and motivational structures. The action plan has to turn us on and provide the internal motivation to go for it. Therefore, to evaluate the potential of an alternative action plan, it is necessary to specify what is important to the person with the problem and assess how well each alternative course of action fits what the person feels is important.

For example, Merle wanted to choose a new location to live. After exploring what was important to him, his family, and others in his social setting, he created a comparison chart, similar to the one that follows. He rated each city on a scale of 1 to 5, in terms of how much it might fulfill the values he deemed important.

The Values/Alternatives Grid

Values	Alternatives		
	Chicago	Denver	Dallas
Clear air	2	5	3
Family city	2	4	3
Good economy	3	4	4
Affordable housing	2	4	2
Proximity to aging parents	2	5	3
Totals	11	22	15

This method can be carried further using a forced-choice pairs analysis, where each city is compared to the other in each category. Chicago is compared to Denver and Denver is the choice. Denver is then compared to Dallas and so on, for each category.

When dealing with more complex problems and solutions, the validity can be extended even farther by assigning weights to each of the values. For example, if the total weighting is out of 100, clean air may be 20, family 30, economy 15, etc., until the five values total 100.

The rating score (1 to 5) is then multiplied by the weighting factor. This helps choose the city with the highest value score, rather than the highest scores. For example, if the economy was worth 70 (Merle is looking for a job) and Dallas was 5 and Denver 1, the total weighted score for Dallas would be higher than Denver, making it the seemingly logical choice to better meet Merle's needs.

It may not be necessary to put the chart on paper unless the problem is quite complex; the steps you would go through in considering various alternatives—or helping someone to consider how well his or her values would be fulfilled by various action alternatives—would be the same.

1. Identify alternatives.
2. Identify values in order of importance.
3. Weigh alternatives against values criteria.
4. Get a clearer sense of which alternative course of action seems most desirable, after careful assessment.

TL Skill #32. Implementing Action Plans: Increasing the Success Rate

Helping self and others reach goals and succeed in taking planned action steps is important to the problem-management process—perhaps ultimately the most important step. If you are not successful in counseling yourself and others to accomplish worthwhile goals, then how effective is your helping or your problem-management assistance?

Helping self and others reach goals and succeed in taking planned action steps is important to the problem-management process—perhaps ultimately the most important step.

Action plans may not get off the ground because people tend to cling to old, less functional patterns of behavior. Fear of change is a strong restraining force in change. It can be scary to give up familiar patterns of action in favor of more effective but foreign ones.

Often when action plans are implemented, they fall apart over time, fade in intensity, and are replaced by old patterns of behavior because new behavior patterns did not live long enough to be reinforced.

Leaders may become discouraged by how often people fail to live up to the leader's expectations for improved performance. Leaders can also become discouraged with themselves in certain areas of their lives when they want change and it doesn't come easily. It is important to accept that deeper changes often come about after great struggle, much encouragement, and quite a bit of time. Just because people set goals and plan to take new actions does not mean the leader's task has ended and the follower is now fully capable and responsible.

An implementation plan includes a clear—often written—statement of what will be accomplished, when, and by whom. Although the plan may be set verbally in a session, writing and reviewing the plan helps preclude a future disagreement on exactly what was said.

When implementation breaks down, ongoing coaching or counseling may be required. With people who are more stuck or resistant, confrontation may be required.

This is true when implementing the wide range of action plans needed for community-oriented strategies to take hold. A simple implementation plan must be developed that involves a wide variety of areas in policing. Implementing is not the responsibility of a small group in the organization. Implementation requires the commitment of most, if not all, members in the organization.

In a large police department, several committees developed 42 recommendations for changes they felt were necessary if the department were to move from traditional to neighborhood policing. Recommendations included changing the basic patrol-beat structure, size of squads, responsibilities of lieutenants and detectives, and diverting various patrol duties to civilian personnel.

As change began to occur, there were successes and failures. People in the organization focused on what supported their patterns of behavior. Some true leaders in the organization used the success to support more change and take greater risks. Others used the failures to resist any change so they could hang on to their old, comfortable style of policing. Some even intentionally subverted any progress toward change.

Our goals can only be reached through a vehicle of a plan, in which we must fervently believe, and upon which we must vigorously act. There is no other route to success.

Pablo Picasso

Often, people resist change because they cannot see alternate paths that can still fit their style. An organization must have leaders capable of helping others see their way of getting to the vision of community-oriented policing.

After specific training, coaching, and counseling, some of the more resistant supervisors were confronted with negative discipline. A senior patrol sergeant can cause considerable damage if cynical, subversive behavior continues unchecked.

It is ultimately the responsibility of every supervisor, manager, and executive officer to provide the organizational structure, training, and resources to make the change to community-oriented policing. Each is responsible for his or her span of control and organizational turf. Implementing action plans will reward the employee, supervisor, organization, and community. These problem-management skills enable leaders to assist those who are resistant to working through managing change on the inside, one officer at a time.

TL Skill #33. Confrontation: Facing and Helping Others Face Self-Defeating Behaviors

Leaders challenge the discrepancies, distortions, smoke screens, and games others seem to use to keep themselves and others from seeing their problem situations and unused potentials; leaders use confrontation to challenge people to move beyond discussion to action.

This skill is the riskiest of all the skills because it involves getting another person to confront the “self” directly. A great deal of trust is required for people to feel comfortable enough to allow another person, especially someone in a position of authority, to challenge what they think may be self-deception, self-defeating behavior patterns or destructive interpersonal “games.” It would seem that the right to confront must be earned by developing the relationship over time, prior to engaging in confrontation.

Strength Confrontation

This is challenging others to focus on observed strengths they tend to ignore or deny. Berenson and Mitchell (1974) found that the more facilitative people used strength confrontation significantly more often than less facilitative people. They also found people used this type of confrontation least often. The following is an example of a strength confrontation.

“You have great ability to perform and enjoy sports that you aren’t using right now—yet you say you want to get fit. Maybe you could find a sport you really like and use that to help you reach your goal.”

Leaders can challenge officers to apply their traditional policing strengths to the community-focused culture. Some officers find the time to go after specific criminals they have targeted on their beat. Yet these same officers will say there is never enough time to perform community problem-solving activities.

Some detectives use some of the best resources when trying to track down a suspect wanted for a major crime. These same detectives do not recognize their responsibility to actively support the patrol officer or community member in developing the resources needed to solve some of their own problems. Leaders need to confront traditional reactive-role perceptions often based on the organization’s status-based reward system, to move officers to the pro-active, shared responsibility and problem-based activities of community models.

Weakness Confrontation

This is challenging others to face their weak spots when they have a tendency not to see them. This is a risky type of confrontation because it requires that the other people have enough self-worth to face their deficits without associated negative feeling.

Many people cannot face weaknesses or faults directly without feeling doubts in their self-worth perception. They may also feel threatened and fearful that others will judge them negatively and discriminate against them when it comes time for organizational rewards or recognition, such as promotion. In some environments, this is a realistic fear.

Recently, an executive coach confronted a senior executive. The coach said the executive was underutilizing his superior visionary leadership abilities (a strength confrontation). The executive was then confronted with the fact that his implementation of action plans was not nearly as strong as his vision, in view of his weaker track record of execution (a weakness confrontation).

After self-examination, the executive agreed and realized that if his organization were to function at its optimum level, he would have to hire someone with an excellent track record in operations and execution to complement his vision of the organization’s potential.

Weakness confrontation with various kinds of officers is no different. Officers have a keen sense of honesty and open communication. They can read someone who is not being “totally open” with them. That is what they are paid to do—recognize dishonesty.

As long as confrontation is based on identifiable behaviors, not rumors or judgments, most officers will respect the direct confrontation style. Weakness confrontation should be coupled with suggestions for improvement. The leader uses experience and knowledge to make

meaningful recommendations to help the person being challenged see the possibilities for strengthening the weakness that is hindering success.

Didactic Confrontation

*Extremists think
“communication”
means agreeing with them.*

Leo Rosten

The confrontation statement may be, “I have different information that might help you solve this problem you are facing. Are you willing to hear it?” Asking people if they are willing to hear a confrontation and getting their permission to confront is an important step in ensuring they will actually hear the new information.

Using confrontation to build the relationship and build others’ successes makes for a more appreciated and credible leader. Leaders in the organization should refine this skill and promote it in others to lower stress and actively value and respect the worth of others to the organization and the community.

TL Skill #34. Self-Sharing: Giving Others Additional Perspective with Your Own Story

Experiences can be shared with others to model non-defensive self-disclosure, help them move beyond blind spots, and see possibilities for problem-managing action.

This is perhaps the most encouraging of all types of “challenging.” When the leader is genuine enough to share an experience—which shows the other person the leader has true sympathy with the person’s experience—a sense of camaraderie or mutuality develops. This is trust-building; it eliminates a tone of judgment so often feared by many.

It is essential that the sharing of experiences does not dominate the dialogue, that it is well-timed and most important, it is useful in facilitating further understanding or insight in the other person. It is an especially valuable skill to use when a person is stuck when attempting to specify his or her part of a problem or when attempting to think of action alternatives.

An executive coach shared with a CEO he was coaching that he had had difficulty specifying his own purpose statement. The CEO really wanted clarity about his own purpose and was expecting his purpose statement to take shape out of thin air in one try. When the coach shared that his own purpose statement was continuing to evolve and that it had taken weeks of revision for him to feel comfortable with his current purpose statement, the CEO relaxed and made more realistic progress.

Police leaders should take the opportunity to pass on successful strategies for handling problems. Officers are tactical and appreciate real-life examples applicable at the street level.

Many officers who were great problem-solving cops have been promoted to supervisory ranks. For various reasons, too many fail to make great problem-solving supervisors. The skill of self-sharing would enable the supervisor and employee to apply proven tactics to similar problems or take risks and try new strategies. Either way, both supervisor and employee will benefit from the process.

TL Skill #35. Immediacy: Helping People Get Unstuck

This very versatile, widely applicable skill enables leaders to deal with issues that must be resolved before other problems can be addressed. It can be considered a process skill that enables a person to get unstuck and to help others get unstuck, when things are not moving forward. This skill can assist the leader to improve his or her working alliance with others in two ways.

1. By using relationship immediacy—which focuses on the ability to discuss with another person the relationship you have with them, with a view toward managing whatever problems have existed and maintaining strengths in the relationship
2. By using here-and-now immediacy—which focuses on the ability to discuss with others whatever is standing in the way of working together right now, in the moment

Using immediacy is an excellent way to “cut through” tension and a stuck feeling in the relationship, as long as the other person is the type who can handle direct, face-to-face honesty.

Immediacy is a powerful skill in establishing genuineness as a person and as a helpful leader. It expresses concern that the relationship goes well and expresses commitment that problems get solved. Using immediacy is an excellent way to “cut through” tension and a stuck feeling in the relationship, as long as the other person is the type who can handle direct, face-to-face honesty. If the other person is too intimidated to deal directly with such intensity and openness, this could be a risky skill to use, especially in the beginning of the relationship.

An example of this skill occurred in a situation with a security company supervisor responsible for multiple sites and the new account manager to whom he reported. The two were having difficulties relative to the amount of upward delegation that appeared to be occurring.

The account manager spent countless hours instructing the supervisor on decision-making techniques and efficient administrative practices. Problems went unresolved and communications remained strained.

During a counseling session, the account manager told the supervisor it was her opinion that the supervisor thought he should forward all problems to higher management, who would resolve them. The account manager pointed to the stripes on the supervisor's uniform shirt and asked, “What do those mean to you?”. The account manager's message was to the supervisor was this: “The responsibility to act like a supervisor comes with the rank you wear.”

Almost with a sense of relief, the supervisor disclosed that as a matter of course, the previous manager had made all decisions, regardless of importance, and that the supervisor just wasn't

sure where he stood with the new manager—until now. Removing the doubt improved his performance as well as his relationship with the account manager.

TL Skill #36. Making an Effective Referral to a Professional Helper

When the leader realizes the person with whom he or she is working is facing a personal problem beyond the leader's capability to handle, it is appropriate to make a smooth referral to a professional (medical, psychological, or coaching/mentoring professional). In making an effective referral, it is best to refer the person to someone the person already knows (or at least knows of) and respects.

When this is not possible, try to identify some respected professionals personally known in the organization and suitable to recommend to others when they are in need. Where possible, have more than one referral name so the individual has a choice. This gives them some ownership in the decision about who to see and it offers alternatives, should the first referral not work out, in terms of the professional relationship.

It is also possible the person may not want anyone to know who he or she is seeing; multiple choices for referral affords this opportunity.

The following steps can be followed when making a referral.

1. Gather as much information as possible about the counselors or therapists to whom the referral might be made.
2. Ensure the counselor is formally qualified (through university training and certification, as is appropriate in certain states and provinces) and, whenever possible, verify that the counselor has a history of reputable practice.
3. Before making a referral, attempt to meet this professional helper face-to-face, to get a sense of who the person is and what approaches this individual prefers.
4. When satisfied, arrange for a personal introduction between the parties, indicating why the new helper will be more effective in this situation.
5. Personally introduce the two, then leave.
6. Follow up with both parties to check the effectiveness of the relationship. (You may have to make another referral if the first one doesn't click.)
7. Ensure that confidentiality agreements are specified and agreed by everyone or trust and integrity will be lost in the eyes of others.
8. Continue supporting the person receiving help but do not enter into confidential conversations that could counter the work being done by the therapist.

Understanding and Applying the Problem and Opportunity Management Model and Process

Once you understand and practice the above 12 skills, you can begin to apply them to the problem-management process. This process is a step-by-step manner of approaching and solving all kinds of problems. It emerged from theory, research, and models of problem-solving and decision-making and integrates the skills introduced in this and previous chapters.

This process is becoming more popularly integrated into coaching, mentoring, counseling, leadership, and management practices because of its logical and systematic approach to understanding others, defining problems and their causes, setting goals, exploring and implementing action alternatives, and evaluating results.

When people use the process, they “know what they are doing” at each step along the way. Even though reality often does not go forth in a lock-step fashion as such, a model tends to imply it is important to have a clear reference point so you know what you have done and what is left to do, when helping others manage a problem or leverage an opportunity.

Effective training programs have used a problem-management approach (Egan, 2002). In his book, Egan offers a theoretical backdrop for the model he has developed. He reviews and integrates applied behavioral psychology, applied cognitive psychology, applied personality theory, and social influence and decision-making approaches and weaves them into a comprehensive, integrative model for helping others manage problems.

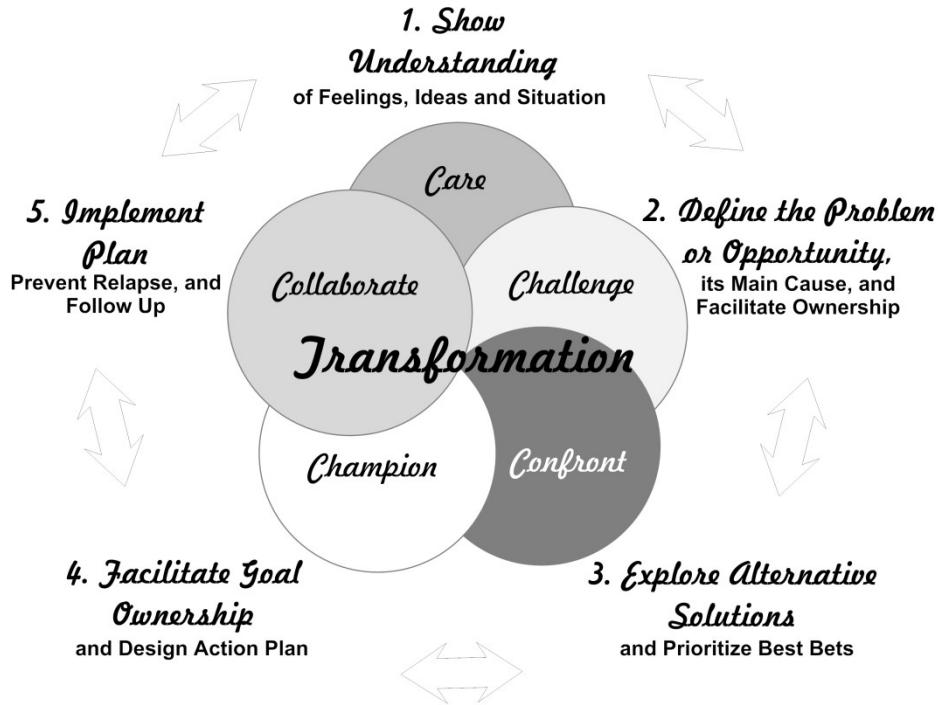
This model has a three-stage process that assists practitioners in assessing what they are doing and what they need to do next in the problem-management process.

We have built a similar model that is circular in nature and includes many of the same kinds of skills, but focuses more on a common-sense (rather than an academic) approach. It was developed, field-tested, and has been continuously improved by input from hundreds of justice and public safety professionals, including police, fire, ambulance, courts, security, corrections, customs, and immigration leaders.

Expertise in the use of a step-by-step process model such as the one presented here is powerful. It can be applied effectively to real problems in the justice and public safety systems where a more detailed model is less appropriate because of frequent demands to manage or solve problems more quickly than a nine-step model affords.

This applicable problem-management process gives structure to the application of appropriate skills at various stages. The stages, steps, and multiple skills in this process are outlined in graphic form below.

Five-Step Problem and Opportunity Coaching Model



Core Facilitation Condition: Genuineness, Respect, Empathy, Specificity

This model can be usefully internalized, easily remembered, and used as a mental reference point for much of the problem and opportunity management work you can do with yourself, with individuals, with teams and organizations. Not using a process model can easily cause the leader to lose track of processing one problem at a time (a typical problem of less experienced problem-managers). With such a model clearly in mind, you can assess what you are doing at any given stage of the process and know what to do next.

Who Needs You to Be a Skilled Problem and Opportunity Manager, Anyway?

This general attitude of impatience, seeming unkindness, and intolerance is a signal this person lacks what research of Kouzes and Posner (2003) reports employees want from their leaders: a heart for people.

Almost anyone may need assistance in some way. The knowledge and techniques for facilitating problem-solving within and between and among individuals is perhaps more subtle and advanced than any other problem-solving body of knowledge. It can be applied to personal and interpersonal matters that affect overall human performance and morale in families and in teamwork settings.

For example, during a consulting contract where the job of a consultant was to assist 28 managers to better understand and deal with high stress levels on the job, one manager was heard to say: “Managers don’t have time to deal with ‘whiners’ or people with problems. We are too busy dealing with more important operational issues and decisions and shouldn’t be slowed down by ineffective people. If people can’t hack it, get rid of them and get people in there who can do the job.”

This general attitude of impatience, seeming unkindness, and intolerance is a signal this person lacks what research of Kouzes and Posner (2003) reports employees want from their leaders: a heart for people. It also lacks the emotional intelligence known to be effective in building relationships, teams, and organizations where people want to work. The insensitive, bottom-line response to people with problems is what may be called the computer chip approach to management: If it is defective, just unplug it and put in another one that works.

Here are some instances where that cold approach is not possible.

- As a consequence of collective agreements or labor legislation, managers may have no option but to make the best of employees with problems.
- Parents are leaders definitely “stuck” with their children who almost always seem to have some kind of problem prior to (and after) leaving home.
- Business owners are stuck with finicky customers who will leave and bad-mouth them and their business.
- Police leaders cannot tolerate poor performance that may have dangerous consequences.

Of course, careful selection of higher-performing employees is the preferred action in an ideal world, but until there is a more exact science for this, we will have to manage a lot of people problems in the workplace and beyond.

Someone Close to You May Need Your Help: It May Be You

It is realistic to say that some personal relationships managers or leaders have may require a deeper level of helpful understanding and skills. Certainly, for oneself, family, and friends, “the understanding skills” are enviable skills to possess.

Problems do not really happen between two people in a relationship; they happen inside of each person interacting within the context of a relationship. That is where problems must be solved—on the inside. This is the great contribution these skills can make toward strengthening personal and work team relationships. Another encouraging point is that people can learn the skills of solving—and helping others to solve—internal personal problems that interfere with personal relationships and work performance.

Leaders are in strategic positions to support, problem-solve, and intervene effectively in the lives of many people.

Often, someone in our immediate family or the person working beside us is going through a separation that could end in divorce or a battle with alcoholism, drug abuse, grief, depression, or a mid-life crisis. Leaders are in strategic positions to support, problem-solve, and intervene effectively in the lives of many people. The results can be: increased morale, increased productivity, and a more positive organizational culture.

Sometimes people find themselves in the advantageous position of having established trust with someone—which can enable them to assist that person in more powerful and deeper ways than anyone else could. Most people do not go to a professional psychologist or counselor for help; they find support through informal channels.

There is some evidence that the best counseling occurs right in a person's own environment and that most people facing a personal problem will not seek the help of a professional (Carkhuff, 1971).

Managers Do Not Have Time to Coach, Counsel, or Mentor?

Managers often report they do not have time to become involved in longer term or in-depth relationships. New, solid research on *Emotional Intelligence* and *Level 5 Leadership* (Collins, 2001) reveal that the most effective leaders are those who know how to manage people problems, develop people's potential, and leverage unused talent. Therefore, it is especially important that leaders learn these skills and seek a strong balance between task and relationship factors in the workplace.

Research clearly indicates that if supportive, helpful relationship factors are neglected for too long a time, performance and morale can be seriously affected. And if the task aspects of the environment are not attended to properly, things simply may not get done. This type of balance is much like surfing: If you step too far ahead trying to catch the wave, it will come crashing down on you. If you step back too far, you will miss the wave entirely.

It is true that leaders cannot deal with all people with personal problems just because they happen to cross paths with them. But it is very desirable and advantageous for good leaders to selectively understand and be able to show genuine, skilled caring for some of the people they encounter. This can increase trust, commitment, retention, morale, productivity, and even a sense of team spirit and community in the workplace.

The performance of usually effective people can decline during a developmental crisis; grief; personal, family, or marital stress; or physical health difficulties. An attitude of support, encouragement, tolerance, and compassion is what most of us would deeply appreciate from others around us—and that is perhaps what we especially need from those above us in leadership positions. Some studies indicate the number one reason people say they are unhappy in their job is their supervisor.

When time or pressure does not allow a leader to assume coaching, mentoring, or counseling responsibilities, a Transforming Leader will develop other helpers within the organization or will effectively refer the burden or the marginally performing person to someone who can help that person through his or her problems or help resolve the issues at hand.

This can take the form of professional counselors and psychologists, employee assistance program staff, medical doctors, or professional clergy, assuming the professional has the skills outlined in this and the previous chapter.

Three Major Mistakes Unskilled Leaders Make When Attempting to Coach, Counsel, or Mentor

The videotaped sessions of untrained leaders and managers at the beginning of a course or training program show the following as the most frequently observed mistakes.

1. Most leaders are so task-focused, they fail to accurately hear the content or check for the intended meaning of the messages being sent to them. This demonstrates a lack of active listening skills.
2. The leaders presume they accurately understand—without checking with the other person. This demonstrates a lack of a feedback loop in the exchange.
3. The leaders give premature advice without jointly arriving at a specific definition of the problem and its cause(s). This advice is usually not followed by the other person because the solution offered does not fit the real nature of the problem. This demonstrates a lack of effective problem definition on the part of the leader.

Other somewhat typical problems showed up less frequently, such as failing to temporarily suspend personal judgmental reactions or emotions and giving inappropriate or even naïvely destructive advice.

Gain Self-Confidence and Self-Esteem by Using Professional Skills

After managers had developed a minimum level of competency in these skills in college and university courses and after executive coaching sessions, they reported in their evaluations that they felt a greater sense of calm, confidence, and self-esteem.

This was based on their feeling that they knew they could now really be of help to others in need without feeling they were “fumbling around in an area I don’t know anything about.” They also reported being glad to learn how to make effective referrals to professionals when it is appropriate to do so.

Dispel Fears of Judgment and Earn Trust

By developing a culture in a group, organization, or family where people agree in advance to face problems openly and see one another as resources rather than judges, there can be a resulting increase in morale and performance. Research on wellness in the workplace indicates decreases in productivity and increases in absenteeism, staff turnover, and stress-related illnesses

in situations where people are supervised in negative culture environments by overly task-oriented managers who miss the people side of the enterprise.

When they fail to attend to the relationship dimensions of their supervisory or managerial roles, these managers contribute to a higher level of corporate stress. The same is true of children who are misunderstood, judged, put down, and undervalued. Because they are in pain, which they see no hope of overcoming, they often rebel, self-medicate with drugs, or even run away from home.

Problem-Solving, Not People-Blaming

Many, if not most, problems are a result of a person's not having a more effective response to a given situation. In most cases, people can learn new ways of perceiving, thinking, and acting that will enable them to solve problems. This approach of defining a situation as a problem to be better faced through learning and development avoids people feeling like they are inept or less valued.

If all leaders agree on how they will solve problems in their organization and become competent to do so, most small problems can stay small or be resolved—and not become big ones.

Example of a Major Problem and an Appropriate Counseling Intervention

The Assessment

The CEO in a large government department became aware of a serious stress problem among most of the managers in his region. They were ill more often than the norm and did not deal well with problems he thought should have been settled swiftly and effectively. There was even a serious outbreak of violence in the workplace; he was suspicious there was a hidden problem.

The CEO talked with some of the managers in an attempt to identify the causes of the problem; not one of the managers wanted to come right out and say what the real problem was, and then the CEO sought assistance from a consultant who interviewed him and the five top managers in the region.

Aside from the fact that management positions had been trimmed due to budget cuts, it became clear from the interviews that all five managers felt afraid their job security was threatened and they saw no clear hope of promotional opportunities outside their immediate field. This was because they had received virtually no feedback from the CEO in over a year. And they had seen him fire two other managers for confidential reasons.

They found his leadership style very authoritarian—he did a great deal of **telling**. He was described as distant (he held only one weekly meeting where he informed staff of new developments and changes) and threatening (he yelled frequently and listened very little).

The Intervention

The consultant confidentially presented his findings in summary written form to the CEO and asked for his assessment of the validity of the findings. Surprisingly, the CEO responded very openly and said he had been very domineering all his life, had felt close to hardly anyone, and had alienated his wife and three children with his intimidating stance, to the point that his wife had threatened to leave him.

He asked for direct coaching to overcome this problem. He assessed his emotional intelligence using the *Emotional Quotient Assessment*, developed more self-awareness, got in touch with his own feelings, learned interpersonal communication skills, and agreed with his managers to use a modified version of the Five-Step Problem and Opportunity Coaching Model presented above.

Then, with the CEO's permission, the consultant, who had the skills and ability to do so, shifted into a supportive counseling role to work through some personal issues that were unresolved, leading to several productive 2-hour sessions. After these sessions, the consultant shifted back into the consultant role so he and the CEO could plan and arrange a team-development session with the other managers on the team.

The CEO and all 12 managers clarified the purpose and concrete goals of the team for the first time. Each of their roles and the goals they were attempting to reach was clarified and connected to the organization's strategic plan for the first time. An appropriate and agreeable leadership style for the CEO to use with this group of managers was negotiated and successfully implemented with *en vivo* coaching (where the consultant attended the meetings and coached the CEO and other managers in the actual meetings). Transforming Leaders can be outside consultants, as in this case, or they can act as a flexible counselor–consultant–coach within their own organizations, if they have the knowledge and skills to do so. It would have been most preferable if the CEO himself had had the personal and interpersonal development and problem- and opportunity-management skills to deal with these problems.

The Outcomes of the Consulting and Coaching Intervention

The absenteeism levels dropped, two-way communication was established among nearly all members, problems were managed more effectively, goals were reached more swiftly, and the CEO sought continuing marriage and family counseling outside the work setting. This is an unusually ideal series of events where almost everything worked out well; without the Transforming Leadership intervention, however, the outcome would have been different.

The main point in the above example is the consultant was able to shift into a helpful, supportive, developmental role to assist the CEO to develop in a problem area that was causing distress among 12 managers, as well as their employees and, indirectly, their families. If the CEO had had these skills from the beginning, the stress and morale problems would not likely have

developed to the degree they did. The advantage is clear when communication and problem-management skills are present within individual leaders, regardless of their role.

The Value of Competency-Based Skills Training

On the basis of extensive research on the impact of counseling in various environments, Carkhuff (1969) has stated two propositions that suggest counseling can be a potent tool for leaders.

The first one states, “All interpersonal processes may have constructive or deteriorative consequences.” This implies management, leadership, psychotherapy, counseling, parenting, coaching, teaching, training, and all other significant relationships are not neutral and may affect people (and performance) “for better or for worse.”

The second proposition is, “All effective interpersonal processes share a common core of conditions conducive to facilitative human experiences.” Those leaders, coaches, managers, counselors, psychotherapists, teachers, parents, trainers, and significant others who are supportive, facilitative, and action-motivating will be more effective than those leaders/helpers who are not.

When a rich body of transferable knowledge and skills is available to managers to help them develop personal effectiveness and leadership potency, why not make use of it?

These propositions and the research on which they were based roughly cut the edge of a new movement—one toward the education and training of a wide range of people in the skills that only professional communications experts, counselors, and therapists learned in the past.

The new focus on skills training for members external to the expert psychologist community marked the beginning of a new awareness of the need for facilitative interpersonal and counseling skills in many fields such as business, law, medicine, education, customer service, and public relations.

It used to be that managers appreciated the value of communication skills and that communication was, and often still is, a buzzword seen in management training agendas. Now many managers want further training in how to deal with followers’ deeper issues, their motivational and morale issues, and even with some of the problems in their own personal and professional lives.

When a rich body of transferable knowledge and skills is available to managers to help them develop personal effectiveness and leadership potency, why not make use of it?

Since the late 1960s, this movement has taken these face-to-face human resources development skills into a wide range of environments, from elementary school classrooms to corporate boardrooms. Most colleges and universities now offer competency-based courses in interpersonal and problem-management skills. These skills-oriented courses, however, are often

limited to social work, counseling, criminal justice, and education departments. In more progressive business, law, and medical schools, systematic and competency-based courses have begun to appear during the past 15 to 20 years.

In response to demands from the professional community, Ivey (1987, 2002) and Egan have developed well-researched and effective training programs that have been taken by a wide range of people, from executives, managers, doctors, social workers, nurses, social services workers, and corrections workers to parents and volunteers in community-service agencies.

The need for all people to become good people-problem managers is on the increase as problems in our world increase in intensity and frequency. Transforming Leaders can pass on some of these important skills to the others they help and lead while moving forward in this new millennium—perhaps a time when problem-management will be most needed.

The Conditions that Facilitate Effective Problem-Management

The following core conditions are facilitative when present in the behaviors of leaders who are helpful.

1. Genuineness

The willingness and ability to be role-free, honest in a kind way, and open about oneself to others makes people feel free to open up and explore themselves without fear of judgment.

2. Empathy

The willingness and ability to perceive others' world views, to see through others' eyes, and communicate back to them an accurate understanding of their feelings and ideas encourages others to trust and explore problems more deeply and specifically.

3. Respect

The willingness and ability to actively show the value of people in the workplace, regardless of their present performance, is an important quality to communicate to others when their respect and participation in reaching goals is necessary.

4. Specificity

The willingness and ability to be highly specific when using language to describe others' views and experiences can help them increase the clarity of their understanding and solve problems more effectively.

Transforming Leadership and Skills Competency Are Integrally Linked

When leaders learn to apply the skills and the problem-management process to themselves and in their work with others, they internalize powerful knowledge and sets of skills at a deep and personal level.

Good leaders are personal, interpersonal, and organizational problem-solvers and managers, directly in their own lives. If there is anything that can interfere with the effectiveness and morale of leaders at work, it is unresolved conflict and stress at home.

Good leaders understand the problem-management process, both cognitively (thinking)—when analyzing an organizational problem, and affectively (feeling)—when understanding the inner workings of self or another person or the culture of a team or organization. They better understand the skills and steps in the process and are able to more effectively deal with their own personal and interpersonal problems.

It is important that a leader's personal life be sound so he or she is not distracted by internal, unresolved emotional or interpersonal problems at home or at work. Good leaders are personal, interpersonal, and organizational problem-solvers and managers, directly in their own lives. If there is anything that can interfere with the effectiveness and morale of leaders at work, it is unresolved conflict and stress at home.

Transforming Leaders also help other people solve problems. If an employee facing a personal problem is not seeking outside help for it, which is often the case, a Transforming Leader is able to respond with genuine caring and effective problem-management skills. This leader may be a school principal counseling a student, a teacher or counselor on staff, or a parent. The leader may also be an executive who intimately and quietly assists an executive teammate who is having marriage, family, drug, alcohol, or stress problems—problems typical to some executives.

Problem-management skills are an integral part of the Transforming Leader's repertoire because some problems are simply inside individuals. Whether a leader is managing a problem within self or others or between self and others, mediating a conflict between others, doing a performance-appraisal counseling interview or career planning interview, or assisting a person or employee to overcome a personal difficulty, basic problem-management skills are invaluable.

Style-Shifting Approach: a Developmental Approach

Anderson (1987) has developed a theoretically integrated and developmentally based style assessment and training instrument and leader's manual. While this Style-Shift approach integrates familiar concepts from a number of theoretical approaches, it is novel in its usage of them because assessment and intervention are presented from a developmental perspective. This part of the chapter briefly discusses the Developmental Level Assessment Grid, which integrates developmental theories into a tool for assessment, intervention-planning, and tracking progress.

The Style-Shift approach is a systematic plan that organizes skills and methods into a working model that provides guidelines for the appropriate use of helping and developmental interventions. For the purposes of this book, a review of the basic assumptions of the approach is summarized as follows.

1. No one approach works with all people.
2. No one approach always works with the same person.
3. It can be difficult to decide which approach will work best.

4. It is difficult for most untrained leaders to use more than one approach at one time or shift from one approach to another.
5. It can be easy to get discouraged and give up when working with failure-oriented or undeveloped people.
6. A more practical, flexible approach that would allow for employee individuality and facilitate development and performance is needed.
7. A method for assessing a person's developmental readiness to receive coaching, counseling, or mentoring is needed, which would also allow for more flexibility in shifting to fit people's style preferences and ability levels.
8. Training often acquaints leaders with a wide range of theories, but seldom gives them a framework for the appropriate application of those theories and methods in a systematic and integrative manner.

The Style-Shift approach offers such a framework for the effective application of theory. The developmental theories and approaches that form the basis of the style-shift approach can be examined below.

Understanding Developmental Levels for Situational Effectiveness

The following developmental levels are presented to gain additional understanding that different levels of functioning exist due to varying levels of development. This is a very important reality to observe in people because it assists in learning to adapt the methods and approach to the level of the person being dealt with. These levels form a solid basis for assessment in the “style-shifting” approach to helping others solve problems.

Level 1: Resistant or Undeveloped Individuals

People who function at Level 1 are distinguished by low levels of individual readiness and willingness, which often result in their becoming detractors in the helping and problem-solving process. They are predominantly preoccupied with self, underdeveloped, reactionary, unaware of problems, and/or deny ownership of and responsibility for personal problems. People who function at this level sometimes attempt to escape reality by trying to live in fantasy.

Some examples of Level 1 client populations might include preschool children, drug addicts, alcoholics, people with severe mental handicaps or mental illness, children with autism, and “hard-core” juvenile delinquents who are highly resistant and potentially violent prisoners.

Level 2: Reasonable Individuals

People functioning at Level 2 demonstrate some readiness and willingness to be helped, but usually at a cognitive level only. They are willing to think and talk about behavior change but need help defining problems in concrete terms and often need follow-up support and reinforcement programs. These people can be good observers who notice many things but seldom take corrective action without support and follow-up from others.

Some examples of Level 2 client populations might include underdeveloped teenagers, “soft-core” juvenile delinquents, and immature high school and college/university students, underdeveloped adults in general, and people with mild mental handicaps or mental illness.

Level 3: Reflective Individuals

People who function at this level tend to seek self-understanding, are willing and able to explore internal personal problems that may interfere with performance, are often more willing to take ownership for personal problems and behaviors, have the ability to learn independently with occasional support, are often concerned about interpersonal development and problem-solving, care about others as well as self, and are better able to make a lasting commitment to change.

Some examples of level 3 clients might include mature teenagers, responsible adults, some college and university students, and personal-development seekers in general. These are the people who make ideal employees and followers because they are ready and willing to learn and take responsibility for their own performance.

Level 4: Resourceful Individuals

People functioning at this level tend to be independent learners, good decision-makers, and creative problem-solvers. They are often able to teach others, have developed a self-responsible lifestyle, and need only additional information, resources, and perspectives. They seek and use expert consultative advice.

Some examples of Level 4 clients might include successful professionals, creative homemakers, educators, plumbers, electricians, managers, artists, etc.

The Style-Shift model provides a clear way to assess levels of development and functioning. Each level has corresponding helping styles, behaviors, and interventions that best match levels of readiness, ability, willingness, and preference. A foundational concept of the model is that it is the helpful leader’s responsibility to shift his or her style to fit the client’s willingness and ability to receive a particular approach.

This following assessment grid can be a useful tool to do a quick assessment of a person’s general level of functioning in relation to a specific task he or she is attempting to do or a task an individual may be asked to complete.

The developmental level of a person is task-specific. It includes the following dimensions: general functioning level, cognitive, affective, interpersonal, ego development, and needs hierarchy level.

An example of a person with different levels of functioning in two areas of life is a prisoner doing a life sentence for molesting and murdering children and who is also an accomplished concert pianist. In controlling his abnormal sexual impulses, he is functioning at Level 1. He functions well, however, at Level 4 on the piano.

The Developmental Level Assessment Grid

Assessment Dimensions	Developmental Levels			
	Level 1	Level 2	Level 3	Level 4
Resistant	Reasonable	Reflective	Resourceful	
General capability	Is unable, unwilling, and/or insecure	Is unable as yet, but willing	Is able, but somewhat insecure	Has a degree of competence
Cognitive functioning (neo-Piagetian)	Shows "Magical," unrealistic, or illogical thinking	Shows concrete, rational thinking—linear, simpler	Shows formal operational, self-reflective thinking—more complex	Shows dialectic abstract, creative thinking
Ego/affective functioning	Lacks inner controls or denies emotions—lacks self-worth and self confidence	Begins responsible integration and controlled expression of emotion	Integrates own emotion with appropriate control and responds to others' emotions	Has integrated emotion and can understand and care for feelings
Inter-personal functioning	Is a self-oriented detractor	Is a self-oriented observer, interacts for self-interest	Is minimally capable of intimacy and two-way communications	Seeks to develop relationships and to develop others
Consciousness level	Blind belief or imagining	Un-validated rigid belief based on understanding of one system of belief	Validated belief based on examination of alternatives	Direct sense of "knowing" self and "life"

The Developmental Level Assessment Grid shows that it is possible to estimate what levels of functioning or development a person moves in and out of, depending on the situational context. Assessing a person's functioning level will assist in planning the approach that should generally be taken in relation to a specific problem that individual is facing.

Helping Tasks Appropriate to the Four Developmental Levels

Structure	Coach	Counsel	Consult
With Resistant People	With Reasonable People	With Reflective People	With Resourceful People
Design safe environments	Gain credibility	Establish rapport in relationship	Do problem-management
Structure therapeutic environments	Clarify problem behavior	Explore problem situation with the person	Consult and give expert information
Control violent people with restraints	Clarify problem behavior	Assist person to take personal responsibility	Provide life-planning consultation
Provide constructive releases	Coach problem thinking	Specify internal problems of person	Provide personal development (advanced)
Provide positive reinforcement	Plan for improved behavior	Focus on problems that have good potential for resolution	Focus on new perspectives
Administer humane discipline	Confront irrational assumptions	Confront person's internal discrepancies	Challenge in a mutual way
Provide temporary isolation programs	Set action goals and programs	Mutually set action goals and programs	Explore goal options
Evaluate and communicate progress	Mutually evaluate progress	Mutually evaluate progress	Explore possible scenarios

Four Intervention Styles

Four styles of intervention correspond to the four functioning levels. For the interventions to be more catalytic to their development, that which is done to help people move ahead in their development must be appropriate to their readiness and ability levels. Four levels with appropriate strategies of intervention are listed in the chart above for Helping Tasks that are Appropriate to the Four Developmental Levels.

These guidelines are meant to be a useful beginning—a starting place for learning to use developmental considerations when approaching people facing complex problems or whose performance or learning capabilities are marginal.

Those interested in further information in this area of using developmental considerations to plan interventions can take courses in developmental psychology or counseling theory and practice and read Dr. Allen Ivey's books (1986, 2002).

Facilitative Leaders Are Not Psychotherapists

Leaders are not expected to be therapists. The field of psychotherapy (and not counseling, coaching, mentoring, or helping as the terms are used in this chapter) includes those therapists

who use predominantly one or two orientations of therapy and generally work with emotionally disturbed people or people with mental illness over longer periods of time (months or years).

Psychotherapists, at least in the beginning, tended to work with institutionalized patients, including both inpatients and outpatients. Helpers are people who have developed counseling skills and who work with members of the general public concerning issues of social adjustment and/or minor emotional and behavioral problem-solving. The relationship is usually short-term in comparison to psychotherapy and often is educationally related. Leaders can have a transforming impact without pretending to be psychotherapists.

The differences between counseling and psychotherapy can be summarized in the following statement by Pietrofesa *et al.* (1984): Counseling focuses more on developmental-educational-preventative concerns, whereas psychotherapy focuses more on remediative-adjustive-therapeutic concerns. Transforming Leadership focuses mainly on the developmental, educational, and preventive issues.

Performance Appraisal and Discipline Interviews Require Facilitative Skills

The one situation where permission to shift into a counseling mode is not required is when performance appraisals or reprimand interviews are being done. There is a role expectation of the supervisor or manager to assist employees in specifying problems that block performance, safety, and retention. Legitimate position power gives the right to specify problems, goals, and action plans with employees. Under these more difficult circumstances, it is even more important to be positive, skilled, and even wise.

In Conclusion

At the conclusion of this chapter, you may have a sense of feeling somewhat intimidated by the complexity and difficulty of some of these skills. Or, it may be that as a leader, you have been performing the skills in this chapter all along but did not have specific names for them. In either case, having gone through this material gives you the following advantages:

- greater intentionality in the use of the skills;
- a framework from which to evaluate your own coaching, counseling, or mentoring behavior, and
- a model to use in planning your own professional development as a leader.

The skills in this chapter can take from six months to a year to learn and years to master.

Cautions in the uses of these skills include the following, (from Gerard Egan's book, *The Skilled Helper*, 9th Edition, 2009).

1. Appreciate the complexity of the helping process.
2. Acquaint yourself with the issues involved in evaluating the outcomes of helping.

3. Appreciate that, poorly done, helping can actually harm others.
4. Become a reasonably cautious helper.
5. Find incentives for becoming a high-level helper, learning and using practical models, methods, skills, and guidelines for helping.

The next chapter (6) will examine how to build upon the interpersonal and problem-management skills learned so far to intervene in a consultative role in teams and organizations, to make a transforming impact. This is the most cognitively complex mode in which to function because there is constant and direct interface with dynamic human systems and organizations.

Chapter 7 will examine the concepts of style-shifting, role-shifting, and skill-shifting for greater appropriateness and effectiveness. That will complete Part I of the book, which then moves into learning to use the tools of Transforming Leadership.

Research has established that basic counseling skills and core facilitative conditions are foundational to most successful relationships. Counseling roles and skills, as part of a leader's transforming tools, are not to be taken lightly. Neither are they to be neglected, avoided, or overused.

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6 The Skills of Team and Organization Development

There are three types of executives in the world. There are those who can get short-term results and haven't a clue where they're going to take the company in the future. Conversely, there are those who have a great 10 year plan but are going to be out of business in 10 months. And then there are those who can get short-term results in conjunction with a vision for the future. These are the good ones. But they are in unbelievably short supply

Al Dunlap

Former Chairman of the Scott Paper Company

It [leadership] happens in the symphony, in the ballet, in the theater, in sports, and equally in business. It is easy to recognize and impossible to define. It is a mystique. It cannot be achieved without immense effort, training, and cooperation, but effort, training, and cooperation alone rarely create it. Some groups reach it consistently. Few can sustain it.

Schlesinger, Eccles, and Gabarro (1983)

The most powerful agent of growth and transformation is something much more basic than any technique: a change of heart.

John Welwood

Introduction

*Not everything that is faced
can be changed, but nothing
can be changed until it is
faced.*

James A. Baldwin

Consultants don't change people or organizations; people change themselves and their organizations. But a skilled and caring leader can facilitate the agreements between and among people that are the catalysts of permanent continuous improvement so this becomes a way of life. This transformational approach to navigating change through team effort is not an option. It is becoming more and more a requirement.

This chapter provides the big picture of what the consultative role is, how it can be applied, and the steps in the consultative process. It offers the knowledge and a set of skills that address this need to face change head-on and learn to learn instead of being overwhelmed, entrenched, or retreating into denial.

It will provide you with a foundational understanding of the processes and skills necessary to make change and continuous improvement initiatives work well in the turbulent whitewater of change we face on a daily basis.

By way of example . . .

- As a police leader peruses the information on a computer screen or responds to an urgent cellular phone call, there may well be reflection back to a simpler time years ago when the police call box was the only form of communication available.
- As the leader struggles with the latest round of cost-cutting and budget restrictions, there may be reflection to the political “law and order” days when levels of government appeared to have endless reserves to fund policing.
- As the leader prepares to attend the endless number of meetings with the local police board, police commission, government council, or community group, there may well be reflection back to the time when policing was shrouded behind the “blue veil” of autonomy.
- As the leader peruses the latest list of well-educated and culturally diverse police recruits, there may well be reflection to a time when hiring was a simple process of somewhat questionable validity.
- As the leader ponders the massive security concerns relative to public events and places brought on by the realities of world terrorism, there may be reflection to a “large world” where such events occurred only on the other side of the world and were only read about in the newspaper and of little concern.
- The business of policing (and all parts of the justice and public safety systems) has been swept up in technological and sociological revolutions unlike any other time in history.

Faced with this unprecedented social and political climate of fast, unsettling change, police organizations and leaders have tended to react in predictably self-defeating ways. They felt understaffed, under-funded, victimized, under increased public scrutiny, and overwhelmed and have often worked compulsively harder, doing the same things, or tried to pretend everything is as it should be.

Insanity: Doing the same thing over and over again expecting different results.

Albert Einstein

According to David Noer, author of *Breaking Free: A Prescription for Personal and Organization Change*, “The only response that works is the positive willingness to learn and meet change head-on. Learning to learn is the best tool for growing beyond the victim mentality.”

Although the skills in this chapter are increasingly abstract and more difficult to learn and integrate into work and life, they are also the most powerful in their potential to get larger-scale results. They build on the knowledge and skills presented in previous chapters. Integrating these skills together into one process builds the leader’s capacity to become a more effective transformational change agent.

A transformational change agent is another descriptive phrase for a Transforming Leader: a leader who has developed the awareness, knowledge, skills, and caring to exercise a significant impact on the development of individuals, teams, and organizations to accomplish a premeditated purpose for the community.

Leaders who can act as change agents are needed now and are needed for the years to come. In policing, as in many fields, leaders will compete with other agencies for limited resources. Demands from better-educated and worldlier employees will require innovative human resources practices. Those that police and other justice and public safety professionals are sworn to serve will accept no less than great performance. The payoff for all the hard work required to bring a team or organization to the point of high performance is described by Robert Quinn (1984): “The interface of big dreams, hard work, and successful outcomes is potent. The sensation that accompanies the phenomenon is a feeling of exhilaration.”

Therefore, it is important that leaders light the way toward strategically managed change and innovation that responds pro-actively to new opportunities and future-trend threats. When they are acting in the consultative role, they not only ardently practice experimentation and problem-management, but also develop the tendency in others to be more explorative and prudently adventuresome.

Organizations will not become learning organizations until the leaders in them build leadership organizations of competent leaders who learn to lead change and protect and value people in the process.

A leadership organization can set its own course, based on a thorough assessment of the needs, concerns, and problems of its members and community members. To take this kind of bold lead, however, it is imperative that leaders be equipped with not only the required management skills but the team and organizational leadership skills, as well.

This chapter explores the skills of the consultative role and how those people in the consultative role can impact positive change in organizations and in their communities, both internal and external.

The following Transforming Leadership skills are discussed in this chapter:

TL Skill #37	Informal Assessment	Page 207
TL Skill #38	Formal Assessment	Page 208
TL Skill #39	Problem-Management Facilitation	Page 211
TL Skill #40	Needs Clarification	Page 214
TL Skill #41	Readiness-Checking	Page 215
TL Skill #42	Values Alignment	Page 217
TL Skill #43	Vision Consensus-Building	Page 220
TL Skill #44	Strategy Consensus-Building	Page 224
TL Skill #45	Program Design	Page 230
TL Skill #46	Performance Evaluation	Page 230
TL Skill #47	Continuous Improvement	Page 232

This chapter is divided into two parts. The first part, “An Overview of the Consulting Role,” looks at the nature of the consulting process. The consultative process is explored, as are the qualities of the consulting leader. The overview and principles described in this chapter are essential in helping the leader be most effective in developing and mastering the complex skills in this skill set. The second part, “Twelve Skills in the Consulting Role,” explains and gives practical examples of how to apply the various skills appropriate in that role.

In summary, although more difficult and abstract in nature, the knowledge and skills presented and assessed in this chapter are potentially more powerful and far-reaching in their impact.

In the role of communicator as outlined in Chapter 4, there is significant impact on the quality of relationships with others in an organization.

In the problem- and opportunity-management roles of coach, counselor, or mentor (Chapter 5), a person can have specific preventative and remedial influences.

In this chapter, by acting in the role of consultant, awareness and ability will be gained as a change agent to increase impact with individuals, teams, organizations, and—as a result—communities. Chapter 7 will explore application of the various skills to a wide range of settings and review the advantages of learning to shift style, skill, and role to maximize leadership effectiveness.

The first step is to examine the importance of intentionality when effecting the development of teams and organizations.

An Overview of the Consulting Role

Intentionality: A Cornerstone of Transformation

The main difference between a professional and an amateur is that an amateur often uses the trial-and-error method whereas the professional has a backlog of knowledge and experience, uses models as an inner guidance system, and utilizes honed skills to get specific results. The professional knows what he or she is doing.

As an example, consider the brain surgeon who specifically analyzes the exact part of the brain to cut in a keenly refined surgical intervention. He does not put a surgical instrument to the patient’s brain unless established procedures are being followed. Only a person with a skilled and experienced hand, with the highest level of training, would dare intervene in such an invasive way. Such an operation would occur only in concert with constant monitoring of the patient’s physical systems during the surgery. In many cases today, the patient remains awake to report to the surgeon. Unfortunately, in many professions there is not the same degree of control of the environment as we find in an operating room.

The skills and knowledge required to succeed in leadership are more numerous and complex than those of a brain surgeon and will become evident as this chapter develops. What makes leadership even more important than brain surgery at times is that some leaders can intervene in people's lives in ways that result in lives being saved or destroyed.

Intentionality, however, is a notion not foreign to justice and public safety organizations. For example, you need only consider what happens when a police officer responds to a domestic dispute. There is a required intervention into one of the most private and personal of areas, that of an intimate relationship between two persons. Like the surgery, this is not a time for trial-and-error methods.

Various kinds of officers are trained not only in the "hard" skills but also in how to interact in situations with the utmost care, as if they were counselors or family mediators. Many officers are trained to consider a unique balance—the objective intervention of law versus a need to intervene in a positive and directive manner that stabilizes rather than destabilizes the incident at hand and a family or community in the longer term. These kinds of intervention skills will likely have an effect far beyond that moment in time. In a like manner, intentionality is a direct factor in the nature of successful intelligence-gathering and conducting criminal and other investigations.

At all times, investigators and project managers must consider not only intended goals of an investigation but also the vulnerabilities, weaknesses, and obstacles that must be managed simultaneously along the way. Without careful balance and consideration of the trappings in their path, an investigative team can suffer losses in investigative opportunity, breaches of intelligence, or physical harm to team members. Furthermore, intervening to produce results in teams and organizations requires even greater care, caution, and planning than most other job responsibilities. The outcomes of poor versus good leadership can affect hundreds and even thousands of lives.

Envision Building the Consultant's Capabilities Inside Each Leader

As a leader becomes increasingly capable of being objective by seeing an overarching view of situations, there is greater opportunity for the strategic kind of intervention seen in the examples of the brain surgeon and the police officer responding to a domestic dispute. The manager becomes a leader with an objective perspective, able to "touch" teams or organizations with more precise effects to achieve agreed and justifiable ends.

Oddly enough, like successful brain surgery, good consultative leadership intervention seems very impersonal, removed, objective, or even aloof. Yet, at the same time, it is intimately personal, as it gets at the very roots of teams and organizations and produces healing effects with developmental impact.

Alternatively, it is possible for a leader to exert a destructive or neutral effect. Certainly, every intervention has a consequence for better or for worse; even actions that seem neutral in their impact are rarely without consequence.

The leader in the consultative role can have many functions and wears many hats; each of these hats—which can be put on or taken off—has its own requisite set of skills. The consultative role may include such functions as catalyst, developer, researcher, strategizer, trainer, analyst, motivator, group or team facilitator, problem-solver, or organizational auditor, mentor, or coach. The range of consultative functions that leaders can play in organizations is as varied as the organizations in which leader-consultants find themselves. In many instances, several roles are played at the same time.

The skills involved in fulfilling these functions are the skills of Transforming Leadership outlined in Chapters 3 through 7. These skills are generic and flexible enough to fulfill the demands of the various consultative roles and functions. For a more in-depth analysis of the various roles and skills consultants can use, see Menzel (1975).

At this point, a person might be saying: "No wonder so many leaders are inept. If it is this complex, maybe I will never really be very good at it. Maybe I should avoid leadership responsibility and just be a play-it-safe administrator and not try to make that much change happen."

Despite this self-talk, many leaders develop into Transforming Leaders over time. Further examination of the roles and skills of leadership as outlined below will demystify things for you.

The Importance of Consultative Roles and Skills in Transforming Leadership

The following example illustrates the diversity of roles and stages that naturally occur in the course of a consultative intervention. Either a leader from outside an organization or team or someone on the inside can perform the behaviors outlined below.

During the initial assessment phase of a consulting contract in a large public-justice organization, a senior officer confided in the consultant that he had "tried everything" to increase employee morale and productivity. He had put pressure on managers and supervisors to even fire people if morale, productivity, and accountability did not improve and tried to pump all the managers with excellence audio and videotape programs. He even instituted a "Total Quality Management" program.

In the consultant's interviews with the senior officer's managers, supervisors, and front-line workers, however, it became clear that the organization was experiencing what may be called burnout. The front line staff were pushed beyond the limit of what they believed was reasonable for their health and safety; they weren't willing to give any more unless they could see some form of return for them.

As a team, their productivity functioned at only 60 percent of their potential, compared with some similar, higher-performing agencies.

The more he pushed, the more they complained about being overworked, stressed, and underpaid. Voluntary overtime (without pay) was expected from those wishing to be considered for promotion; those who “killed themselves” got rewarded by their senior officers because this was considered evidence they could “take it.”

As occurs in some situations, the people who did the front-line work decided how much work was going to be done and how fast; anyone who stepped out of line to perform above the unspoken norm would be disciplined by the work group members in very quiet and effective ways. Sound familiar?

Upon further investigation, through interviews with front line staff—the ones who directly control productivity—it became clear they were angry. This anger came across in virtually every interview. During 30 interviews, which included a random cross-section of front line staff, a list of complaints and a list of what the staff appreciated about working for this organization were made.

Their complaints about the senior officer and his management team, in order of priority of importance, were as follows.

1. Nobody cares about us around here. Why should we put out for them? There is no guarantee of promotion or additional pay, even when we do work harder and longer. They treat us like migrant workers.
2. They (management) say they care about us “people” and that “people are important to the organization,” but they really just talk the talk; they don’t walk the walk. When Bill was seriously injured on the job, they just called an ambulance. Not one supervisor, manager, or executive in this place even visited him in the hospital for two weeks. That’s sick.
3. Some low performers connected to the senior officer get to stick around and continue to “sluff off” their responsibilities on the job and we have to pick up the slack. The boss plays favorites and we aren’t his favorites. (From the boss’s view, this interviewee was an old-time friend of the family and out of kindness and respect for this person’s age, the boss decided not to fire him even though he had grounds to do so.)
4. Good performance is not even noticed or rewarded around here. Why should I put out my best when we don’t get raises even when the workload just keeps going up? If I put out more on the job, I get pressure from most other workers to fall back into line so they don’t have to work harder.
5. People can be fired at any time around here and without enough of a chance to better their job performance. They fired three receptionists in the head office without even giving them any training to do the job. Other people have just disappeared around here and no one knows why. You wonder if you are next. (The boss did not fire the receptionists; they could not meet the minimum performance requirements of the job so he released them at the end of the probationary period.)

6. I've been here for four years and I still don't know if I will ever get a promotion. I don't know if I'm seen as "just another front-line staffer" or not. I think I could do a good job as a supervisor and I have taken the training, but no one will tell me if I should have any hope or not. I'm looking for another place to work where I know there is more opportunity.
7. Management continues to change its mind about how things should be done, doesn't involve any of us in making changes, and doesn't even ask us how the changes are working.

From these complaints, which were collated and summarized into a brief report, the senior officer and his team arrived at the following understandings.

- Managers who are not listened to and shown respect by those to whom they report often do not listen to and show basic human decency and respect for those who report to them.
- Managers demonstrated role, skill, and style rigidity in the traditional "old-school" fashion.
- People will not work hard over the long haul for people they do not like.
- The senior officer of the organization had set the "impersonal tone" of the corporate culture by treating previous executive and management staff with a "computer chip" approach to management: If it doesn't work, unplug it, throw it away, and put in another one. There had been a 23 percent turnover in managers and supervisors during the three years the organization was in a growth phase and a corresponding 32 percent (per year) turnover in front line staff. No one calculated the cost of training or hiring people who did not fit their jobs or who could no longer stand the stress of their positions and the toxic environment that was the organization's culture.
- No one in management acted as an internal consultant to the organization. No one was reading the "non-rational" factors (the shadow side) in the workplace to respond to things such as ensuring that supervisors were distributing paid-overtime shifts fairly, providing timely feedback about positive performance, and recognizing and rewarding a job well done.

As a result of the consultative intervention outlined above, the management team decided upon and executed the following initiatives.

- They agreed they needed to come to consensus in their organization about what leadership competencies all team leaders would need to demonstrate to be effective in the future.
- They conducted a study to determine what leadership competencies everyone in the organization could agree are important.
- They rewrote the job descriptions of all leaders and attached the new leadership competency list that emerged from their study to each job description so they reflected the changes in philosophy and values being demanded by employees—one of shared, consensus-based leadership, whenever it is practical.
- They developed a continuous improvement team that met on a monthly basis to problem-solve most of the unresolved internal complaints and problems that employees were expressing.

- They got union buy-in to all the above and had a union representative on the Continuous Improvement Team.
- They clarified and came to consensus throughout the organization on the vision, values, and strategic priorities statements for the organization.
- The Continuous Improvement Team was to work in concert with management to proactively address and brainstorm solutions to current and future trends.

In all police, justice, security, and public safety organizations, similar dynamics are at play. The rank and file are officers with considerable power and responsibilities. They cannot be assigned the task of maintaining public safety as community leaders and role models, and then be treated as subservient employees internally within the organization.

A high level of cynicism can quickly envelop such an organization. If you ask board members, community members, and employees, they will probably tell you a consultative and cooperative leadership style is essential and preferred. Along with the ability to be participative, these leaders also have to make final decisions, implement those decisions, and answer to internal and external reviews when things go wrong.

Leaders are often expected by those under them in the organizational hierarchy to act in a traditionally independent and decisive manner. But as we can see in the above example, in day-to-day affairs, they more likely need to use the skills of consulting with others in a collaborative manner.

Ideally, all people involved would arrive at a decision for which there is team commitment and consensus. If the senior officer and his team leaders all had possessed the skills of the internal consultant, it would have been ideal. Therefore, team leadership, once called participative management, is becoming even more important.

Interpersonal communication, counseling, problem-management, and consultative skills are required to carry out successful team and organizational leadership and community leadership. Even though it is important for those exerting leadership influence to shift at times from a mutually communicative to a helpful counseling role, it is perhaps even more important that they be able to shift from the communicative and counseling roles to the consultative role.

If the more complex, facilitative, consultative capabilities are not present in a number of key leaders, such powerful consensus-based changes and continuous improvement initiatives do not occur very often.

The Nature of the Consultative Role

The consultative manner of dealing with people and problems is innovative and creative—a more global approach. It is characterized by careful assessment and strategically planned action combined with empathy toward others. The consultative role also requires pronounced

detachment and objectivity about the team and/or organizational context in which a team's problem is occurring.

The skilled leader is capable of transforming people and organizations by moving from a mutual communication role to a counseling and problem-management approach, then shifting to a consultative role when the situation requires this type of skill- and role-shifting (to be discussed in depth in Chapter 7).

Many untrained and uninformed leaders naïvely demonstrate role, skill, and style rigidity based on a role perception based in their cultural conditioning. This lack of receptivity and responsiveness to change and people limits their potential to function effectively. This is attributable, at least in part, to the culture that tends to develop within many paramilitary organizations.

Police organizations, for example, are usually steeped in tradition and modeled unabashedly on the military. Each rank, each position, each function is carefully delineated and documented for all to see. Consultation is not perceived as required, since all relationships and activities are well documented.

In *The Leadership Challenge*, Kouzes and Posner describe how standard operating procedures are established and become the "habits" of the organization. These regulations and orders manifest themselves as cultural norms and present "especially potent barriers in times when innovation is required" (p. 65).

A consultative leader, while having the ultimate authority to make final decisions, can be more of a humble "servant," attempting to discover and meet needs to facilitate the accomplishment of agreed goals while keeping the bigger picture in mind.

These regulations and orders may be formalized even more through their inclusion in statutes. This inclusion now gives these procedures the force of law. Developing consultative awareness—objective awareness of the process and the context of people and events—and skills will assist the leader in being more effective in the consulting process.

The multifaceted and flexible leader functions in this fluid manner, not closing down options or opportunities because of standardized rules and regulations. They use both intuition and rational calculation—theorizing, strategizing, then taking action—only to re-evaluate the impact and shift again.

This type of circular *modus operandi* is similar to what Tom Peters calls MBWA or management by wandering around. There is a certain informal quality—a genuine and mutual but expert quality to leading in this manner.

A consultative leader, while having the ultimate authority to make final decisions, can be more of a humble "servant," attempting to discover and meet needs to facilitate the accomplishment of agreed goals while keeping the bigger picture in mind. More information on this approach

appears in Chapter 13, about how one police leader has committed totally to this shared-leadership approach with his management and supervisory teams.

This image of leading, while wandering around talking with people for a purpose, captures the spirit of the high-touch but objective and result-oriented leader who can function in the consultative role and the other two roles—communicating and counseling—alternatively or in a blended fashion.

Difficulties in Developing Consultative Skills

As mentioned above, the consultative role and the skills appropriate to it are more difficult to develop than the communication and counseling skills because they are more complex. They require a more comprehensive awareness of self, others, teams, technical know-how, and the organizational and environmental context involved in each changing situation.

When functioning in the consultative role, it is as though a part of yourself is reserved and “perched upon the roof,” looking down into the context of the team or organizational setting where events are taking place. When shifting into the consultative role, a leader practices observing patterns in the environment, looking for movement, irregularities, or themes.

In working with executive teams, the objective is to get them up on the “roof” of their organizations so they can begin to work on the organization, instead of just in it. When this kind of clarity and agreement happens, there is real hope that significant, prioritized, realistic action plans can be executed.

Typically, as small boys imitate their fathers, organizational members with leadership aspirations often strive to be like the leaders they admire.

Paul Whisenand and Fred Ferguson

But someone has to facilitate the process of coming to clarity and agreement and must have the skills to do so. Therefore, to be most effective, the consultative skills require a strong base of communication and problem-management skills.

Many people in positions of authority consciously and deliberately employ leadership skills. Some people in positions of responsibility over others seem to have one or two sets of skills. Few managers seem to have developed all three sets of skills and integrated them into practice.

Until the introduction of objective measurement tools such as the assessment center and 360° feedback tools in recent years, the promotional systems within many organizations have tended to promote those simply seen as worthy or preferred by their superiors.

As noted by Paul Whisenand and Fred Ferguson, “Typically, as small boys imitate their fathers, organizational members with leadership aspirations often strive to be like the leaders they admire,” leading to the propagation of inadequacy. The deficiency of certain skills in leaders often reflects a lack of skills development programming—which can include education, training, coaching, and longer-term mentoring—for supervisors and managers.

The practice of using competency-based development and selection models is not yet commonplace but is very important. Therefore, it falls to the leader to take responsibility for recognizing deficiencies and take the appropriate steps to develop needed skills.

This, in turn, results in the modeling of appropriate behaviors for and by those who are seeking promotion. For example, one large policing organization now requires a demonstration of leadership competence—as measured by 360° feedback from peers and supervisor—to even apply for a sergeant’s position.

Even though the consultative level of awareness and the skills that accompany it are the most difficult to develop, they are perhaps the most influential. Therefore, they are potentially the most rewarding. The challenge for the Transforming Leader, functioning in the role of consultant, is to stay open, to deal with complexity, and be at least as complex as the complexity of the situation at hand requires.

The capacity to be complex and versatile is vital to both effective processing of information and creativity.

The consultative role includes such roles as listener, interviewer, observer, data collector, reporter, teacher, trainer, coach, educator, sponsor, support-giver, advisor, challenger, mediator, mentor, advocate, researcher, problem-solver, entrepreneur, and creator. All these roles capture the complexity of leadership and require all three sets of skills in Transforming Leadership. With this complexity in mind, there is now an opportunity to become familiar with the steps in the consulting process.

Many people believe that you must be a senior officer, manager, or supervisor in an agency to effect important changes. Even neophytes can make a difference, however.

For example, in the Criminal Justice Program at a Canadian university, many students who earned their BA degrees in Criminal Justice demonstrated the following leadership capabilities in their field practice settings.

1. Conducted meaningful research that was required in the three associated courses.
2. Wrote proposals for programs that will elicit change in an organization.
3. Gained acceptance of their proposals and help a team implement proposed changes.
4. Evaluated the outcomes of their proposed intervention.
5. Wrote a report on the outcomes of the changes.

These students learn the consultative process and apply it by caring enough to discover needs and problems through research; they propose changes that can make things work better. The process they learn is important. A major Canadian policing agency has formed a joint

partnership with the university to offer a BA program for its officers that helps them to learn how to lead positive change. Here is a field-tested model that elucidates the consulting process.

The Consulting Process and Model

Egan (1988) outlines a practical systems-based model for changing and developing organizations that results in action that leads to valued outcomes.

1. Current Scenario

Find out what is not going right in terms of problems, unmet needs, unused resources, unmet challenges, and so forth.

2. Preferred Scenario

Determine what the organization, organization unit, or project would look like if it were in better shape. A preferred scenario specifies *what* an organization needs and wants, not with how it is to be achieved. This is the **gap analysis** or the difference between where the organization is and where it wants to be.

The Plan for Getting There

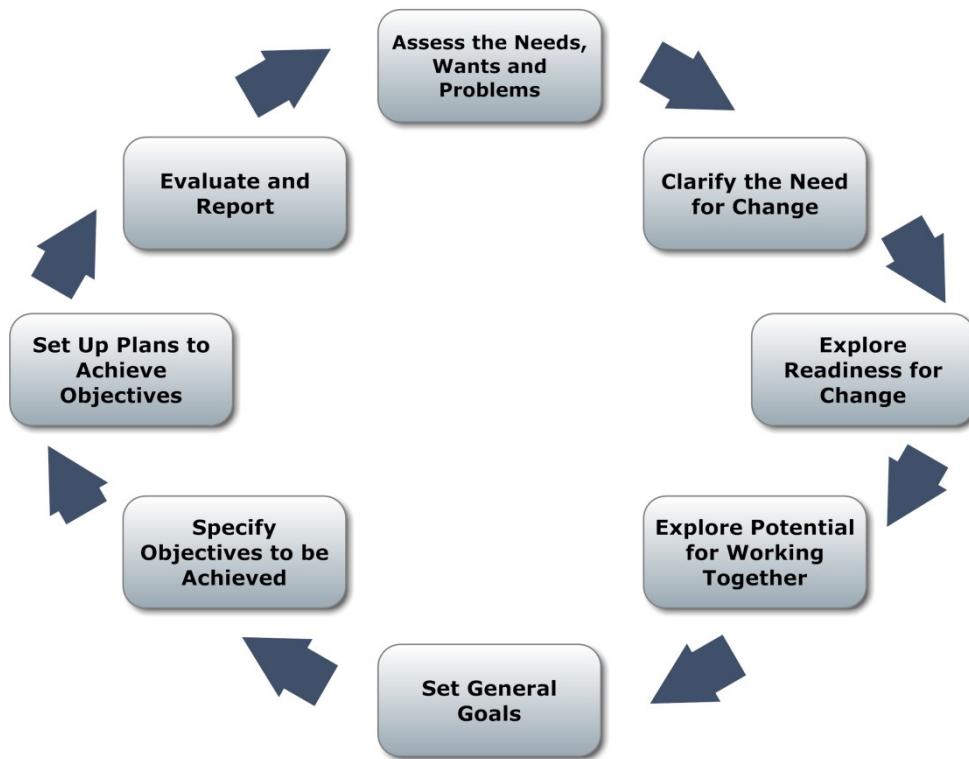
Develop an action program or strategy for moving the current scenario to the preferred scenario. This stage deals with how results are to be accomplished. It projects action plans that lead to valued outcomes.

In Egan's model mentioned in the previous chapter, there is a systematic and objective attempt to gather and interpret relevant information for the purpose of gaining insight about the nature of a need, problem, or overlooked strength. This diagnosis provides the consultant with the information needed to design interventions more likely to result in improvement of performance, morale, and/or climate of a particular person, team, or organization.

Many models of strategic planning, implementation, change management, and evaluation could be referred to here, but the steps that follow are generally appropriate for use when you are attempting to facilitate positive change in an organization.

Steps in the Consulting Process

To gain a better perspective on the steps involved, an amplified summary of the consulting process is outlined here.



Step 1: Assessment of Needs, Wants, and Problems

During this first step, some kind of organizational needs-assessment or organizational audit can fruitfully be undertaken. This needs, strengths, or problems audit can take the form of administering standardized questionnaires for organizational assessment, conducting interviews with key people in the organization, or a systems effectiveness analysis conducted by an outside specialist, e.g., an accountant, IT professional, or engineer, etc.

Although the identification of problems and unmet needs is essential, it is also critical to pinpoint strengths and unrealized potential and communicate them to all members of the organization. Assessing both the technical and relationship aspects of a problem is equally important.

The leader must ensure that the audit process provides the data relevant to activities that will follow. There may be a tendency to use existing audits, such as those used for administrative

reasons or legislated audits. The audit must be specifically designed to discover those areas, in terms of both strength and weakness, which will establish the basis for Step 2.

An organizational survey, such as the Organizational Assessment Review, can be used to do a comprehensive assessment of all areas of the organization. In diverse organizations, this tool needs to be administered at an organizational level as well as within each activity stream. After appropriate assessments are conducted and the facts are put on the table, it is important to help leaders and those they lead to understand and buy into the need for change.

Step 2: Clarify the Need for Change in a Language Others Will Understand and Accept

The more specific and careful the definition of the problem or need is, the greater the likelihood of a successful intervention.

The consulting process is very similar to the problem-management process in that problem-identification and specification of causes is a most critical phase. The more specific and careful the definition of the problem or need is, the greater the likelihood of a successful intervention.

There are both informal and formal ways of defining problems and assessing needs. Some informal ways include small-group interviews with representatives from various parts of an organization, small-group simulations of problem situations perceived to be occurring frequently in the organization, or anonymous surveys with key work teams, supervisors, and managers. More formal methods of data collection will be specifically explored below.

The problem must be communicated to the team in such a way that leaders and members will be able to usefully identify it as a valid problem or need. The following scenario captures the danger of not acknowledging there is a valid problem.

During a review of the administrative procedures of a municipal police organization, a situation that created a service deficiency was discovered. Citizens' calls to the uniformed supervisors' office had apparently been handled poorly.

Each area supervisor kept a separate filing (reference) system for his or her service area. If the supervisor for the area being queried was not on duty, the question often went unanswered because the recipient of the call did not know where to find the required information. The solution appeared simple. To resolve the issue of information retrieval, a generic subject file-index system was created so the on-duty supervisor could access other supervisors' files.

When presented at the supervisors' meeting, however, the idea was almost totally rejected. The supervisors felt their own administrative systems worked very well for them and saw no reason to change. Someone even went so far as to say, "Nobody has any business in my files," and that sentiment was supported. The issue of quality service outside the respective areas had not been articulated and, therefore, the supervisors' frame of reference for change was specific only to their own areas. In other words, they saw no need for change.

A simple solution in another police agency was suggested and implemented. All citizen complaints were input into Maximizer (a client-management software program); all those authorized to examine complaint files received access codes to the networked program. Anyone with authority to access the files could do so immediately. This required some training on the part of a few senior officers, but after they got used to the system, they preferred the instant, constantly updated files.

Even when people understand and accept the need for change, sometimes they are not necessarily ready to participate in making change happen. This step helps members of an organization realize how they are frozen into their current way of doing things and see the advantages and disadvantages of the current state.

Step 3: Exploring Readiness for Change

This next step can be thought of as the unfreezing step. As each team or organization endeavors to make a positive difference, the change agent and the individuals involved must assess one another's willingness and ability to make the change happen successfully. There are many obstacles to effective change and many forces that can promote change effectively. Personal insecurity, interpersonal or inter-team conflict, financial pressures, political forces, and timing can all adversely affect a change attempt.

As noted by Scott Cunningham at the 1993 Society of Police Futurists Symposium:

Because of this conservative, *status quo* nature, law enforcement has evolved into an entity that is slow to change if not outright resistant. It is paramilitary by historical design and bureaucratic partially due to its governmental aspects. These two characteristics further reduce the acceptance of innovation and change.

Recently, a police organization was experiencing difficulties with the implementation of its re-engineered strategic plan. Members of the management team agreed the plan was innovative and far superior to the previous one. It had been assumed it would be embraced by most if not all the organization.

Sessions held by facilitators with members of the organization revealed a pervasive "tired of change" feeling. This feeling was the consequence of years of constant flux within the organization. There were continual staff changes at the executive level. There were new policing styles and new policing initiatives. The police officers simply wanted a period of stability, something management apparently had not considered. The police officers expressed their discontent in the only way they thought would be effective—through resistance to the planning initiatives.

When intervening in a consultative role, regardless of the role, it is a good idea to do a Force Field Analysis. This analysis attempts to identify all possible restraining forces to change and

tests to see if there are ways to remove some of the forces before they hamper the effectiveness of change efforts. The apathy noted above is an example of a restraining force to change.

In another example, the principal of a large elementary school asked for assistance in planning professional development activities for her teaching staff. During mandatory interviews with some of the teachers, a few of them confided that nothing would likely be well received because the principal did not consult with the teachers about what they felt was needed in the coming year. She was just planning to “lay on” some training—the way some training programs are given to many organizations—whether or not they really need it. The resentment was so strong, the principal was confronted with this perception. The principal did not want to change her management style because she feared losing some of the authority and control she thought she had established.

After thinking through how this block could be overcome, the principal decided to hold a meeting to specify the teachers’ areas of need, using an outside consultant as a planning facilitator. The teachers appreciated that the principal had asked an outsider to facilitate staff consensus on training events because her communication and leadership styles were autocratic and authoritarian in nature. Because she was participating in the planning process as a mutual leader/member of the team, instead of the “boss,” she was also able to get many of the things she wanted into the program.

Because people on her team who perceived themselves as mature or as deserving more respect had resented being “bossed around” by her in the past, we had to overcome this block before a positive difference could be made. She had to develop some additional style versatility in dealing with these followers or delegate some leadership to one of them to get the results she wanted. She also had to learn basic interpersonal communication skills because she had never been trained in them due to the fact that she grew up in a family that had taught her to be the way she was.

The principal subsequently used the same consultative role she had observed the consultant use to solve two other problems that arose in her teaching team—with good results. Her performance was under review that year by her school district’s director of instruction; she was greatly relieved by the increasingly positive evaluations she was receiving from her teachers.

Her readiness for change, inspired by her observations of how the consultative process can solve problems without losing authority, increased as time went by. This resulted in the teachers’ changing their perceptions of and approaches with her, much to the relief of everyone. She made small changes that resulted in big payoffs.

Today in many organizations, a potentially severe imbalance is created by the lack of readiness for change within the membership and the stark reality that change is being rapidly instituted because of budget cuts, shortfalls, and restructuring of organizational priorities.

It is incumbent on executives and managers to locate and equip consultative change agents within the organization (regardless of rank or position) and employ their positive energies and skills. When these leaders form a leadership team whose purpose is to initiate planned change and continuous improvement, it can be very powerful.

Step 4: Exploring the Potential for Working Together in Concert

A good working relationship is imperative if a leader is to make the positive difference he or she would like to make. Establishing bonds of common values, beliefs, or approaches can help in developing trust with co-workers.

When a team outgrows individual performance and learns team confidence, excellence becomes a reality.

Joe Paterno

Being open about differences can also be important when it can prevent future gaps in expectations and clashes in values or styles. It can create an opportunity to work through to agreement about how problems will be dealt with and to resolve the conflicts that will inevitably emerge. The *Values Preference Indicator* and the *Personal Style Indicator* are tools that can be used to help team members understand their strengths and accept their differences and are available online.

When expectations during change are not clear, anxiety levels often escalate and irrational, behavior can result. One of the ways to manage anxiety is to be clear about what the change agent will or will not do, then determine how much support is likely forthcoming from the people with whom the agent is working on key issues.

Not only is it important to test to determine the degree of potential compatibility or conflict among three or more people, but to communicate a certain degree of willingness to respect the values and approaches of others involved in the change effort. Establishing clear and agreed values and procedures in any group can help create compatibility in work relationships with others.

Step 5: Setting General Goals

A parallel to this step in the counseling role outlined in the previous chapter would be the goal-setting step. In this phase of the process, agreement is reached with others about what achievements or accomplishments are being attempted. These goals need to be stated concretely enough—and usually in writing, as much as most people resist doing so—so that their attainment can actually be observed, measured, reported and celebrated. General goals are stated as things hoped for: “We want to improve our hiring process” or “We want to use time more wisely in our meetings.”

It is important to come to consensus about general goals before moving on to seek consensus among members of a work group or team. Otherwise, attempting to set more specific objectives to be achieved when there is no real commitment to do so, will become counter-productive.

These goals can become an important part of a written contract, if this more formal type of agreement is appropriate (“If it isn’t written, it doesn’t exist.”).

Exploration by the leader may reveal that most staff have abdicated the concept of goal-setting to executive offices and boardrooms. Planning and its associated activities has, in many organizations, traditionally been the domain of the executive row. Leaders must communicate and promote the concept of mutual goal-setting activities that lead to ownership and effective implementation throughout the organization, including on the front-line where it matters most.

The concept of consensus-building among members of a work group must be articulated; real consensus must be reached if optimum performance is to be achieved.

The concept of consensus among members of a work group must be articulated; real consensus must be reached if optimum performance is to be achieved.

The leader may have to spend time assisting staff in establishing an adequate knowledge base in the area of planning so that they fully understand each phase of the process and are prepared to participate in reaching consensus.

The leader must also ensure that staff members do not succumb to the idea of arbitrarily setting “official” goals to satisfy external influences such as boards, commissions, or other political interests. These external goals can often be important, as well, but must be owned by those who will implement them if real progress toward reaching them is to be achieved.

Step 6: Specifying Objectives to Be Achieved: A Practical View of a Preferred Future

For most people who are busy accepting the mantle of leadership—whether at home, in a classroom, a school, a hospital ward, a company, the military, or in law enforcement—leadership brings with it some reluctance to take the time to do careful planning. It takes time and stretching your imagination. It is hard work to be specific with language. It is risky to announce a plan to others because it means that later, someone will ask whether or not the plan worked. Therefore, people often just go along with the *status quo*; they don’t rock the boat or set even slightly risky goals that could later prove to be embarrassing if they are not achieved.

Some of the early attempts to set objectives in organizations produced inadequate results. Organizations struggled with such concepts as subjective versus objective evaluations. Because many organizations are judged on a statistical basis (such as the Balanced Scorecard approach adopted by the RCMP and many other governmental agencies), there is a tendency to demand that everything be objectively quantified.

By creating this demand, there is a need to create the instruments for gathering the statistical data—a task for which many organizations are ill prepared.

Some of the managers believe organizational activities are highly influenced by factors outside the organization’s control. How can the organization plan activities when it is controlled by

external forces? This reactive mentality tends to support maintaining the *status quo* or changing in a direction that could harm the organization's effectiveness in maintaining its health and ability to serve the stakeholders.

Without goals, and plans to reach them, you are like a ship that has set sail with no destination.

Fitzhugh Dodson

An example is used here to demonstrate the importance of being specific and concrete in setting objectives and planning action steps.

The director of a large volunteer organization asked for assistance in developing the team of people involved in working with about 150 youths. The staff consisted of one full-time director, three paid part-timers, and 25 adult volunteers.

The youth program had been going along steadily for about seven years with the same director, but no long-range planning or annual goal-setting had taken place at the team level. It was "top-down" leadership where the director, to this point, had taken most of the responsibility for structuring activities and motivating the youths.

Other volunteer leaders followed along, whether or not they liked the way things were going. They did not want to confront the leader's authority because they valued showing respect to a leader by not disagreeing with him or her. As the organization became larger, the need for more staff and more diverse programs became evident.

One primary problem became clear. No one had systematically determined the needs and wants from the point of view of the youths and no one had assessed the needs, skills, and abilities of the staff or 25 volunteers to meet those needs. They were hired or accepted as volunteers, based on their personal qualities and their willingness to serve.

This scenario is typical of most volunteer groups and committees, where one leader takes most of the responsibility and the followers are not specifically qualified for the roles they are assuming.

An external consultant spent one day with the four leaders to decide what they would like to do to strengthen their team effectiveness and the impact of their work with the youths in their organization and in their community. With assistance in wording their objective statements, they recorded the following.

- We will conduct an informal needs assessment (personal interviews) of the youth in our organization and in the community and also use a more formal questionnaire approach, to see how much agreement or disagreement there is.
- We will create a comprehensive mission, goals, and programs statement, based upon the above needs assessment of youth in our organization and community.

- We will write a proposal to the board that will include an outline of our departmental statements and a budget that will outline the financial requirements to achieve our goals; this proposal will be given to the board on May 1 for its consideration.
- We will involve youth in the decision-making process about programs we are planning for them in the future, by getting their ideas and input at planning meetings we schedule each month.
- We will engage in staff training for ourselves when we determine areas of need and will assess the training needs of our 25 volunteers. We will provide training for them and begin both training programs in June.
- We will discover and appreciate one another's strengths and create job descriptions for ourselves that reflect our individual abilities. We will communicate these job descriptions to one another and review their appropriateness every six months.
- We will bring in people external to our organization to assist in meeting needs we don't have the expertise to meet, i.e., career and life planning seminar for senior high and college-age youth; self-esteem seminar for junior and senior high youth; and premarital and marriage seminars for those who marry young. We will provide longer-term professional counseling for youth who have emotional and family problems.

The group members needed assistance in specifying their objectives because they clearly would not have put them together in this complete and specific way without external assistance.

It would have been best; however, if someone within the organization had consultative knowledge and skills to accomplish this end without external consultation. The board was so impressed with the clarity of this department's plans it funded all the proposals without reservation.

Step 7: Setting Plans to Achieve Objectives

Strategic planning is 5 percent of the equation for success; implementation is the other 95 percent. After objectives have been set with the agreement of those involved, there is a much better opportunity to plan and implement the objectives in a step-by-step fashion, with timelines for implementation. If the job roles are exactly specified, it is likely that the most appropriate people can be assigned to do the various parts of the task.

Our plans miscarry because they have no aim. When a man does not know what harbour he is making for, no wind is the right wind.

Seneca

History has shown, however, that appropriate is a term subject to interpretation. To implement the organization's plan, one government agency executive directed section managers to select the appropriate person to present the plan and facilitate strategy development. One of the managers, with good intentions, saw this as an opportunity for a subordinate to "be seen" just prior to a promotion opportunity.

Of little weight in the choice was the fact that the soon-to-be champion of the plan had virtually no knowledge of the strategic planning process and very little knowledge of the organization's plan. Members of the implementation team must be ready, willing, and capable.

Plan implementation must be stated in terms of action to be taken and accomplishments to be achieved by certain dates, so the team can achieve its goals and purpose within specified timeframes.

The importance of this step cannot be overstated. For example, many justice and public safety organizations with well-developed plans have stumbled at this stage. It is estimated that most organizations, if they even have a strategic plan, have less than a 30 percent implementation rate. All too often, strategic plans end up as SPOTS (Strategic Plans on the Top Shelf).

Plan implementation must be stated in terms of action to be taken and accomplishments to be achieved by certain dates, so the team can achieve its goals and purpose within specified timeframes.

The cause of this poor performance can be traced to an inordinate commitment of resources in the planning stage at the senior management level. It is based on the erroneous assumption that a quality plan will automatically result in quality implementation.

This leaves little in the way of resources to ensure effective plan implementation and often results in the "big binder" syndrome—a thick, well-written, academic document read by few and implemented by few. Success is seen as the beautifully bound document proudly displayed on bookshelves and tables and presented to anyone who asks, "Do you have a strategic plan?"

Care must be taken to select (and/or develop) those people within the organization who possess the skills and competencies necessary to facilitate the implementation process. If required, the organization must be prepared to commit to the development of people so they can provide the support and guidance during the implementation process. Only a plan that shows consistent and regular efforts toward implementation—with deliverables, timelines, responsible people, and evaluation of progress—has a high chance of success.

If all supervisors and managers in an organization are developed to the point where they can effectively execute a plan, there is sure to be a good measure of success in its implementation.

If managers know, however, how to do execute and supervisors do not know how to lead teams through to implementation and review of results, then execution will suffer and the implementation rate will likely drop below 30 percent.

Having training and coaching in place for all supervisors is a tremendous investment in success.

Step 8: Evaluating and Reporting the Impact of Interventions

It is important to assess the impact of interventions as they occur at set intervals during a project. Normally, some type of assessment would be done after the first session, others at the halfway and two-thirds point, and one at the end. This regular evaluation will assist in setting a new course, because planned intervention will need some fine-tuning to hit the mark perfectly.

When a problem is determined, there is a need to communicate that challenge to the group and give members an opportunity to suggest alternative solutions. These suggestions can be integrated into an overall plan for improving their approach or strategies.

The majority of men meet with failure because of their lack of persistence in creating new plans to take the place of those which fail.

Napoleon Hill

The leader will win the respect of group members when he or she can deal with problems early, rather than ignoring or avoiding them. It is far better to “correct course” than stick to the plan and run the ship aground.

One example of how this type of evaluation can be effective is to use the same survey both before and after a time of planned change. The Organizational Assessment Review mentioned earlier can be used to assess the current state of an organization and to measure change after a specified period of time.

Also, the strategic planning and implementation document itself can act as a reference point to determine how well the plan has been implemented, through a determination of the extent to which the intention was achieved.

Twelve Skills in the Consulting Role

The previous section provided an overview of the consulting process. In this part, the 12 skills used in the consulting role are summarized and explained in concrete terms, to provide insight into what is required to perform each one.

Reading about these skills often is not enough, however.

As with the communication and counseling problem-management skills, to develop these skills to their fullest, it is best to have a coach or a mentor or at least some kind of competency-based training—where you get feedback about how well you are performing a skill—specific to your areas of need.

TL Skill #37. Informal Assessment Skills: Walking Around Talking with People

This area of skill involves using all the communication skills outlined in Chapter 4. This requires a person to informally engage in assessing and reporting needs, wants, fears, problems, opportunities, or threats in several different ways.

- It can be done in a casual way, by walking around talking to people.
- It can be done through scheduling one-on-one interviews with key people over coffee, to gain insight into their concerns.
- Or it may be done by learning people's perceptions about issues deemed important.

Good leaders stay in touch with the people implementing the team's strategies and help those in the trenches, to prevent and manage problems on a daily or weekly basis. This kind of leadership cannot be done without informal interviewing on an ongoing basis. Some of the very best information received has been from this type of grapevine communication. After gathering information, it can be introduced in a team or executive leadership meeting for further consideration and discussion.

People implement ideas they help create.

The story is told of the psychology professor trying to research morale issues while he was in the army. His research team designed questionnaires, did surveys, collected data, and crunched numbers. Yet, the team members felt they were not in touch with what was going on with the more than 2000 officers in their charge. Finally, after months of investigation, the four researchers decided to go out and talk with the people, face-to-face. The information they collected made the data come alive with meaning.

It is important to talk with a cross-section of people directly involved with the work and who have the concerns. This is the qualitative aspect of researching needs, concerns, or problems. When they are permitted to come up with the solutions themselves, these individuals can design and implement solutions to many of their own problems. People implement ideas they help create. This qualitative approach to assessing and pinpointing problems and needs adds depth to otherwise dry but informative quantitative approaches.

TL Skill #38. Formal Assessment: Research, Interviewing, and Reporting

All too often, agencies use surveys to provide the illusion of progress with the results of the surveys seldom being utilized. Every agency needs to have research on its agenda and needs to have a dedicated team to deal with it. Larger organizations may have their own research divisions, but smaller organizations often have nothing. They keep their own statistics in a haphazard manner due to lack of technology, process, and procedure for gathering data and recording and reporting statistics.

This skill area is critical to the success of the change process, because without careful and accurate assessment of needs, wants, and problems in a team, organization, or community, there can be little or no effective intervention. To make a positive difference, goals must be accurately and specifically stated and programs implemented so that targeted problems are solved and perceived needs are met. The following are examples of such information gathering.

- A leader does a survey of what a work group or team members would most like to do during a given session.
- A teacher assesses the reading levels of students, to plan individually tailored reading programs.
- A manager or supervisor does a job satisfaction survey each week to determine problem areas and takes appropriate action, based on feedback.
- A salesperson reviews monthly data by geographic sales area to better target the achievement of next month's sales objectives.
- A consultant assesses the factors related to absenteeism in a large company in an attempt to alleviate the problem and increase overall productivity.
- A university president conducts an institutional self-study to determine areas of effectiveness and potential problems or to identify unmet needs.
- A parent has a family meeting to determine needs, problems, and wants and creates some strategies for meeting them.
- A consulting accountant provides cash flow or sales projections to plan effectively for future capital expenditures or project sales or for the results needed to achieve a business goal.
- A police manager accompanies patrol officers on duty to make sure executive-level decisions take into account those factors that will influence front line workers.
- A police agency conducts a crime analysis survey to determine the type of resources to allocate to various parts of the city.

The information-gathering and interpreting process follows a number of steps adapted from Kilburg (1978), as outlined below.

1. Clarify the purpose of gathering information so that the information will assist people to make better decisions in specific areas. Participation in the process is directly proportional to the perceived need by the surveyed individuals.
2. Formulate expected results to compare the real results with the expected results. How realistic is the organization's perception of itself?
3. Use proper assessment tools, surveys, interviews, questionnaires, or tests so the information collected will be focused and useful. Can action be taken, with knowledge that the information collected is valid?
4. Sample all or a representative selection of the members of a team or organization so there is confidence that the results reflect the needs or problems of the whole team. Caution must be used when making any statistical inference from the representative group.
5. Analyze and interpret the information so the results can be used to make better decisions about solving problems or meeting needs.
6. Summarize and present the results of the information-gathering in a way others can understand and use them.
7. Make decisions based on careful assessments instead of hunches, intuition, gut feelings, opinions of team members, or revelations.

The data-gathering process can be assisted by using previously validated instruments or questionnaires appropriate to the environment. Specific tools that meet exact needs, however, may not be easy to come by, requiring the creation of new tools. It is generally more effective to design the key questions for an interview or a questionnaire because there is a degree of assurance that the questions asked are appropriately focused and address real concerns.

A cautionary note is warranted about administering questionnaires or conducting surveys in an organization. Before designing or administering various measures, first discover if the people responding to the questionnaire or survey will perceive it as worthy of their response. Sometimes people are “surveyed-out” or they have no confidence that spending their time responding to a survey will result in any change they view as positive.

General Guidelines to Use for Considering the Various Approaches to Gathering Information

Small Groups (4 to 15): If the members are relatively mature, simply ask them what the researcher wants to know, using direct and pointed questions that require a Yes or No answer (closed). Or ask open-ended questions that can be answered in any way the respondents choose.

With a group where there may be reluctance to respond, ask the participants to write down their concerns anonymously and place the notes in a receptacle for later reading and response. It is very important to take steps to protect anonymity, if promised. A perceived breach of trust will make future participation in information-gathering highly unlikely.

Larger Groups (16 to 60): Use a simple questionnaire that can be developed with the assistance of a few key members in touch with the general concerns of the group. Keep the size of the questionnaire to one or two pages each time it is administered; make the response time no longer than just a few minutes, to increase the response rate.

Ask both closed and open questions, as appropriate. Alternatively, ask each of the key people in the group to approach five members with the same questions. Ask the key people to record the answers and report to the group leader when the interviews are complete.

Large Groups (60 to 200): Groups of this size can be approached in a similar manner but can often be more effectively assessed by using a more involved and carefully designed questionnaire that, ideally, can be scored by computer. For a group this large, the time involved in collecting the data and collating it into meaningful interpretation can be unruly. It is easier if you have access to a computerized organizational assessment program, such as Campbell’s Organizational Survey.

Or, if there is access, use a software program such as *Statistical Package for the Social Sciences* (SPSS). A number of survey tools are available on the Internet for very reasonable cost that can be

completed by anyone with access to the Internet. An example of one such low-cost highly secured and reliable site that we have used is www.SurveyMonkey.com.

Groups Larger than 200: These groups require high-tech research methods or the time and expense of distribution, collection, collation, interpretation, and presentation of the data becomes unwieldy. As a part of the assessment skill area, in more advanced assessment projects, the researchers may need to develop these research and statistical skills, if they are not already competent. Questionnaire development and scoring software programs can make many of these more difficult tasks quite user-friendly. A working knowledge of the research process and statistical analysis would be an asset in providing the researcher with a greater sense of confidence that the information collected is representative of the total population and not a biased sample.

In politically sensitive situations, avoid circumstances where there may be accusations of being a biased researcher, data collector, or reporter.

Colleges and universities offer courses in research tests and measurements and in statistics. Alternatively, the researcher can call on those more experienced in this area if assistance is required in developing these skills. The task can also be delegated to qualified researchers. This can be especially important if the research requires high levels of confidentiality or impartiality by the investigating parties.

In politically sensitive situations, avoid circumstances where there may be accusations of being a biased researcher, data collector, or reporter. A number of justice and public safety agencies work in conjunction with criminal justice professors and employ their senior or graduate level research students to conduct useful studies that provide the intelligence needed to make data-driven, strategically informed decisions.

TL Skill #39. Problem-management Facilitation: Leading Teams Through Resistance to Change

This skill of leading people through resistance to change is required to lay the groundwork for change. People do not want to change simply because there is a need for change. People must understand the need for change, the benefits and downsides of change, and what is required of them. They want to know how their future will look after the change has taken place.

Resistance is thought transformed into feeling. Change the thought that creates the resistance, and there is no more resistance.

Robert Conklin

Without support, many people become anxious, negative, and unproductive—until they can embrace a clear vision of how change can result in a preferred future. The leader's job is to use problem-management skills to uncover the shadow side of resistance to change, help people understand why changes must be made, get them to see what's in it for them if they help, and get them to enlist in making necessary change happen. Some theorists call this the unfreezing stage of change management, where people get help to become unstuck from old ways of thinking and acting.

Most people need help and encouragement to move out of their comfort zone of what is familiar and step into new territory.

For example, a new police chief was hired in a mid-sized community. He was selected from among many qualified candidates because of his track record of expertise as a leader and a manager. He had been a respected commander in a large police force and a visionary leader of people. He came to the new police force only to find that most of the members of his management team were not prepared as leaders.

They were doing fairly well at managing the *status quo* but were not innovative leaders or builders of high-impact teams. Their credibility in the ranks ranged from moderate to low. Their motivation levels ranged from medium to low. Several were nearing retirement.

If's the constant and determined effort that breaks down all resistance, sweeps away all obstacles.

Claude M. Bristol

After a team meeting, the chief confided in the external consultant hired to assist the process that he could not see a way to build the organization and meet community needs with these team members. In the current situation, the resistance would likely significantly reduce his ability to make the necessary changes. Yet he felt committed to honor their years of loyal service and contribution to the community.

The chief was coached to be forthright with these officers by showing them the new job descriptions that he and the consultant had developed for the executive team roles. They could see they did not have many of the people skills, technical skills, and team leader skills that would be required to do the new job. They also did not want to take the necessary training to make the transition into the new job roles.

Career and life-planning sessions were conducted with these two members of the management team. Two of them decided to get additional leadership training and continue on modified management roles, two took early retirement, and one was subsequently dismissed for behavioral problems.

The chief had to prepare these senior officers for change, honor their years of service, and sensitively work through career or retirement solutions suitable to each of them. As a result of these changes, the new chief was able to select and build a competent team with executive members who had high levels of credibility, competency, and motivation.

The chief had a responsibility to the community to put a highly competent leadership team in place, even though it was a difficult challenge and not an easy transition for anyone.

The power of an idea can be measured by the degree of resistance it attracts.

David Yoho

A number of chiefs would likely have tolerated the *status quo*. This chief proved himself to be a Transforming Leader and the organization and its new leaders to this day are exemplars to others who watch and envy their success as a most

desirable policing agency in which to work.

In another example, a CEO administered an Organizational Assessment Review to evaluate how his \$50 million company was doing in 12 areas of performance. An external consultant assessed the CEO's own strengths, talents, gifts, personal vision, and life goals in light of what the company needed from a CEO during the current period of rapid growth.

When the CEO looked over the results of the survey, he decided to change his role to that of a more visionary president and to bring in outside professionals to oversee the operations. Previously, his responsibility included overseeing the operational aspects of the company with a team of managers who had come up through the ranks.

A few had been with the company for 35 years. None of the managers wanted any new blood from the outside because each felt deserving of the title of vice president. All felt threatened by the unknown executive vice president and general manager who could hold them accountable to new standards.

To facilitate the organization's leaders through this impasse toward change, the CEO agreed to implement the following steps to deal with the resistance to change.

1. Meet with the existing managers to share the results of the Organizational Assessment Review and the CEO's newly clarified role and goals.
2. Identify what the managers believe is needed for the organization to move ahead.
3. Ask the managers to catalogue their own strengths, talents, and motivations in helping move the organization from an entrepreneurially run company to a professionally led business.
4. Inform the managers that the decision has been made to hire an experienced and previously successful vice president of operations. The plan is to advertise and find a person in whom most managers can have confidence and with whom they can work agreeably.
5. Involve the managers in the final interviews to select the person who will, in a practical sense, become their new day-to-day leader.
6. Allow any of the managers to apply for the job if they feel their expertise and qualifications surpass those of the final short list of applicants.

After the meeting, the managers agreed on the desirability of at least looking for someone outside the company who might be the best person to lead the organization into its next stage of development. Of course, it was difficult for them to disagree with the CEO, but they all had the opportunity to process how they felt about the proposed change.

They were relieved to learn they would have a say in selecting the new leader of operations; they felt a sense of excitement about the CEO's commitment to learn and move ahead into a preferred future for the organization.

TL Skill #40. Need Clarification: Clarifying the Need for Change

Before people are really willing to embrace change, they have to be convinced it is truly necessary. None of us wants to change just for the sake of change. It takes work, understanding, patience, and persistence to get key team leaders to the point where their heads and hearts are committed to change. Sometimes people's heads are convinced, but their hearts are reserved or even resistant.

Before people are really willing to embrace change, they have to be convinced it is truly necessary.

The managers in the example above still did not fully buy into the need for the impending changes in the organization or their job roles. In particular, two of them were very negative and began maligning the whole venture—blaming the CEO for “messing up what has worked for so long.” The CEO observed this lack of enlistment and decided to move ahead into a preferred future, as he saw it. The following happened as a result.

1. There was another team meeting with the managers.
2. The results of the Organizational Assessment Review were reviewed. This helped the managers pinpoint some changes they wanted to implement from their points of view and the CEO agreed to help them move ahead with those changes.
3. The managers reported they liked these new meetings where their concerns and views were heard and where response was immediate with decisions and action.
4. The CEO further explained his own personal need to move out of the role of operational overseer into the role of ambassador for foreign projects, vision-caster, political figurehead in negotiation sessions, etc.
5. He also told the managers he could not make the best use of his time and talents if he continued in his current role. They agreed with him that he was not the best operational manager.
6. A consultant explained the differences between an entrepreneurial-style organization and a professionally run one; the “lights began to go on” in terms of the benefits of this difference. The managers agreed they wanted to see the organization move ahead from \$50 million to \$100 million in the next few years.
7. The managers agreed they, too, needed some changes in their roles. They suggested hiring a vice president of human resources, in addition to the vice president of operations, so they could get on what they each did best in a less distracted way. They also agreed the overall profitability of the company would most likely increase (beyond the cost of the salary for the position) as a result of hiring a vice president with a proven track record.
8. A compensation philosophy and profit-sharing plan was instituted so that all managers could share in the success they would help to build.

The managers finally got the message that making planned change happen could benefit them and that they could trust it and the CEO. They started to gel as a team in a new way.

But their full enlistment and wholehearted commitment were not yet secured. More is required, as will be seen when exploring the next skill in this leadership skill set.

TL Skill #41. Readiness-Checking: Overcoming the Real Blocks to Change

Helping people get ready for major change is difficult, complex, and fraught with the unexpected. It is difficult to manage the shadow side of the events that inevitably emerge. There are skeletons in the closet, old resentments among team members from previous events, and fears about the uncertainty of an ill-defined kaleidoscopic future. The real obstacles to change must be ferreted out and confronted head-on.

The CEO met with his managers again after the final session. He was both troubled and encouraged. He was encouraged he had gotten this far because he had expected far more resistance or even refusal to move ahead from a few of the managers.

If you have always done it that way, it is probably wrong.

He was troubled, however, because there was one person on his team he felt he could not trust.

Charles Kettering

He felt that five of the 12 managers were “on board” and ready for the launch of a new and better organization. He also felt empathy for five who were still passively looking on. He was both concerned and perplexed by the two who were negative in their attitudes.

In his book, *Good to Great*, Jim Collins uses the analogy where the organization is a bus and the people in the organization are passengers. Collins states that one of the most important roles of the leader in achieving greatness in the organization is, “Getting the right people on the bus, the wrong people off the bus, and the right people in the right seats.” The CEO was determined to give all seven of his resistant or reluctant managers a reason to either get on the bus or not continue to work with the organization.

He did not want more of the toxicity he had tolerated in the past. He realized he was no longer willing to tolerate the draining negativity and pessimistic attitudes of two of his team leaders, in particular. He also realized he wanted to communicate to people in the organization that mediocrity, acceptance of negativity, and minimal performances were no longer acceptable. After a long self-talk and some soul searching, he set about the following tasks.

1. He asked all managers to rewrite their job descriptions based on what they really did, really wanted to do, and what they must do to make the strategic plan happen. Their current job descriptions were so outdated that many of them started with a clean piece of paper. They were asked to prioritize the tasks on their new job descriptions in the order of what they did best and what would best achieve their departmental goals as they connected to the organization’s strategic plan imperatives. The managers went through the same process with the supervisory level staff members below them, delegating tasks to various supervisors who were willing to do them.

2. The CEO then met with each manager and revised his or her job description to reflect what everyone could see were the best uses of the manager's time and talents. He helped the managers see how they could delegate the rest of the tasks that were distracting them from performing from their strengths. He also re-engineered their work roles so they were relieved of tasks that were not as strategically important to accomplishing what was most critical for their department or the success of the organization.
3. The CEO shared and revised his job description based on feedback from each manager. He off-loaded some of the things that had been "on his plate" for years to the new vice president of operations or other managers with the talents to perform the tasks well.
4. From the implementation part of the organization's strategic plan, he added a prioritized list of projects and accountabilities—with timelines for accomplishment—to the last page of the job descriptions; the CEO and each manager signed off on them. In this way, what they had was an agreement for the work they were committing themselves to do in the coming year. The one- or two-page documents they signed were simply called Working Agreements.
5. They also agreed this document would be open-ended because a new, upcoming strategic review session was planned to further clarify roles and responsibilities for the coming year.
6. The CEO dealt with the most negative person, whom he could not trust because that person had engaged in some manipulative behaviors: lying to protect himself, "lording" his authority over key supervisors, and refusing to own up to these and other negative behaviors. All the managers felt intimidated by this person because of his history of threats, destructive put-downs, and the spreading of false rumors that hurt people's reputations.
7. Because the individual refused to take ownership of his destructive behaviors, he was given the choice of losing his authority and function as an advisor to another manager or leaving the organization. Interestingly, he chose the former option. Because of a medical problem, he had to reduce his stress level in the few remaining working years before his retirement. He also abandoned most of his negative approaches because he could not make them work without the position power he once wielded. His productivity level increased and he began to enjoy being a part of a positive organization. When he retired, there was a big celebration, to honor his positive contribution!

People of lesser status in the organization were given the more difficult and stressful jobs. It was just the way things had been done from the beginning.

The result of going through this process was that each of the managers now felt that the major obstacle to team harmony and progress had been removed. The one manager who had been demoralizing the rest of the team had been repositioned and dethroned. The other individual with a negative attitude turned around because he was no longer in the clutches of the leader who represented the old-guard values of the organization.

The values of the organization throughout the decades of its existence had remained predominantly authoritarian and a "good ol' boy" network. In other words, if you got promoted, it was likely because the boss of your division liked you or you were a relative of someone higher up. Many people had received raises based on their connections, rather than their performance.

This practice is found all too often—masked in a charade of supposedly valid personnel-selection procedures. Some low performers got raises and their slack performance was tolerated because of whose sons or daughters or nephews they were.

People of lesser status in the organization were given the more difficult and stressful jobs. It was just the way things had been done from the beginning.

Men often oppose a thing merely because they have had no agency in planning it, or because it may have been planned by those whom they dislike.

Was this culture difficult to change? Yes! Although a private sector organization, it operated in a similar fashion to some military, police, or correctional cultures. The need for a new charter, new culture, new values, new vision, and new strategy was at hand.

Alexander Hamilton

A police, fire, ambulance, court, security, or correctional organization may, at first, appear to be so entrenched in bureaucracy and military tradition that this type of restructuring is difficult or impossible. A person only has to look at the wholesale changes that are made when faced with severe budget cuts to know that change can be made if the desire is strong enough.

TL Skill #42. Values Alignment

After getting people ready to accept change, the next step is to clarify the operating values of the organization. Some people would argue this should be done as the first step.

Based on the experience with the CEO previously in this chapter, if values clarification had been the first step, the major obstacles would not have been removed and the probability of achieving some measure of real consensus around operating values would have been decreased significantly.

Values Must Make a Difference

Many people have grown weary of the whole values-clarification and consensus-seeking process because they have been through the exercise of specifying organizational and team values before; it did not appear to make any significant difference. The values became mouthed, notional values rather than action-based, guiding values in reality. Once articulated and agreed, the values must carry some weight.

Agreed values must become operational values that carry genuine consequences when they are not followed.

For example, the police chief of a large city police department made a public statement on local television that if any employee of the police department was guilty of discriminating against anyone because of race, belief, or sex, that person would be dismissed immediately.

This put the commitment to values in plain sight for everyone to see. The police chief did this based upon consensus developed about the preferred values of those who worked in the organization. He also made this announcement because he is upholding what he believes to be the worth of all people and the value of the *Constitution*.

Agreed values must become operational values that carry genuine consequences when they are not followed. More important, behavior in alignment with the desired values of the organization must be recognized, appreciated, and rewarded or those values will have a tendency to fade.

In Values-Based Leadership, Kuczmarski and Kuczmarski describe the characteristics of values being that which not only guides the actions of the organization, but also brings forth commitment and risk-taking by those who subscribe to those values.

Clarifying Values at the Organizational and Then Team Levels

Team and organizational values each need to be specified. Organizational values are more global and often find agreement at the executive or management level. Acceptance and adoption of these values is sought from people in all areas of the organization. Once the organizational values are specified, teams can identify their own team values that are based on the organizational values.

To exist over time, teams must have some cohesion. Cohesion is made up of a common purpose, a desire to belong through social identity, a need for affiliation, a desire for mutual problem-solving, and seeking to achieve common goals.

The failure to clarify and communicate global values may result in a perceived values conflict, often referred to as values incongruence. While working with the police board of a First Nation police service, the board members expressed concern to the facilitator over the fact that the young police officers were spending an inordinate amount of their time off the reserve and in the nearby town assisting the local police.

A values identification session subsequently conducted identified strong feelings on the part of the board members for the protection and preservation of the cultural values and traditions of the Nation.

This cultural emphasis was high on their list of values. This was clearly a priority for them and tended to influence their perception of how policing should be delivered to the people of the Bands they represented. Their focus was to blend policing into the cultural environment and they had concerns the police officers did not subscribe to similar values.

When a similar session was held with the police officers, it was found that they, too, had strong feelings for the cultural values and heritage. The focus of these young officers, however, was to blend the cultural environment into policing. As police officers, their focus and priority were on delivering a policing service while remaining cognizant of the cultural issues.

There was simply a lack of understanding between the two groups in terms of how each perceived the process of policing in a culturally sensitive manner. When each was apprised of the others' perceptions, the ability to reach consensus was greatly enhanced. Soon they developed

action plans that provided traditional policing activities in a manner that demonstrated a commitment to the cultural issues.

When team members are at odds with one another, the team will be divided and dysfunctional and may merely exist in mediocrity for years. Here are some points for discussion.

- How people should be treated
- How rules and regulations should be interpreted or followed
- How to conduct meetings
- Who has leadership and final decision-making authority

Therefore, it is of critical importance that the issues of team norms (rules, regulations, manners of treating people, solving problems); values (priorities, importance); and beliefs (assumptions about what is good, true, worthwhile, etc.) be addressed in the first stage of a team's development. This, for obvious reasons, is often referred to as the storming stage of team development.

In the same manner as outlined above for specifying a purpose, a team can be facilitated to seek and arrive at consensus about the issues of norms, values, and beliefs.

Where conflict is not resolvable through agreement, team members must use a conflict-management strategy of compromise. Where compromise cannot be reached, it may be necessary to demand the team follow the authority of a leader given ultimate decision-making authority by the team or a higher authority.

Problems Incurred from a Failure to Secure Values Alignment

When values alignment is not handled in the development of a team or organization, there is bound to be undue and ongoing conflict, strife, and unresolved problems. All people need not believe the same things and have the same priorities or values. On the contrary, the diversity of the team provides the greatest opportunity for accomplishment and reduces the likelihood of groupthink.

When people do not agree that it is okay to disagree, however, there is often an intolerable clash of expectations and hard feelings, coupled with people blaming one another for the demise of the organization or team.

Set your expectations high; find men and women whose integrity and values you respect; get their agreement on a course of action; and give them your ultimate trust.

John Akers

A team that remains dysfunctional despite all interventions should be dissolved and a new team created of members who have displayed values consistent with those of the organization and the task assigned to the team.

For example, a college department had a faculty meeting where apparent agreement was reached on the purpose, goals, norms, values, and beliefs of the

faculty. Unfortunately, one faculty member only pretended to buy into the statements, because to resist the team's momentum would have meant her values and norms were inconsistent (incongruent) with the basic team values and norms of all the other team members.

She neither wanted to give up her values in favor of those espoused by the team nor to be openly at odds with the other team members. She just quietly operated from her own opposing values without the team's immediate knowledge.

Over time, several of the team members began to notice that students were being treated in an arbitrary fashion, without due respect or according to principles the other members of the department valued.

This kind of internal sabotaging of a team's key values happens in organizations when people who claim they have a certain type of character are hired or selected for a team and then it is discovered that their true values are in opposition. These problems are the more difficult ones to solve. They represent the "shadow side" of the organization and are more difficult to manage.

A comprehensive program entitled TeamLead, by Everett Robinson, can help a team achieve this type of consensus; it is available from Consulting Resource Group International, Inc., through this book's site: <http://www.CRGLeader.com/everyofficer>.

In this program, a team values-assessment and prioritization activity is outlined. More than 20 other assessments and activities designed to build high-performance teams are also available.

TL Skill #43. Vision and Purpose Consensus-Building

Many visionary leaders and strategic planners use an analytic approach to planning that does not unify people into a force for change. This approach has the following characteristics.

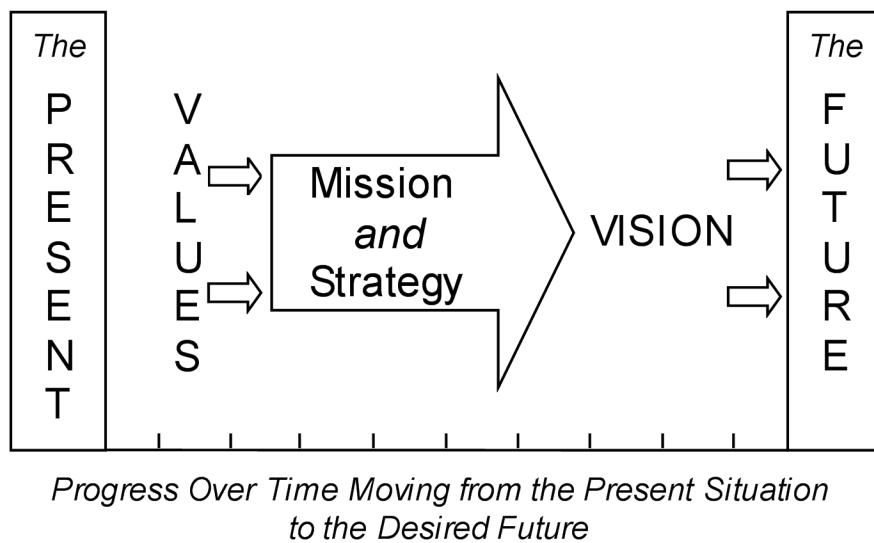
- It begins with an assessment of the current state, issues, and problems.
- It breaks the issues or problems into their smallest components.
- It solves each component separately, i.e., maximizes the solution.
- It has no far-reaching vision or goal—it merely seeks the absence of the problem.

Transforming Leadership takes a systems-based approach to envisioning and problem-solving. The systems approach has the following distinctive characteristics and advantages.

- It begins with a vision of a preferred state of affairs in the future.
- It articulates ways to know when the preferred state is reached.
- It assesses the current state of affairs.
- It then articulates a strategy to get to the preferred state of affairs, to close the gap between the current state and the preferred future state.

The Elements of Strategic Planning: A Systems Approach to Envisioning and Problem-Solving

The following graphic and description of the systemic approach to strategic planning were developed by Ron Ford (see chapter references). Description of Key Elements in the Systems Approach



Element 1: Vision

The role of vision is infinitely more powerful than the average leader realizes. Vision pulls us toward the future with an image of what that future could look like. It gives us a compelling reason for the sacrifice and effort needed to accomplish something significant.

Element 2: Values

The values held individually and corporately are primary sources of motivation in the enterprise. Priorities and activities that do not reflect our values are easily procrastinated, compromised, and even abandoned. Values drive us and empower us for accomplishment.

Element 3: The Present

Every determined step toward the future—no matter how bright and promising it appears—must always begin upon the ground of the present. Present realities must be understood and considered as future planning takes shape in your thinking.

Element 4: Mission

The mission of the enterprise is the tactical and operational focus for the company's resources and efforts. While vision concerns what is ultimately being sought in building the company, mission is more concerned with the actual business activities in which the company will be engaging in the immediate and short-range future.

Element 5: Strategy

With all the above in view and in proper perspective, a careful, comprehensive plan can be developed. This will consist of strategic priority actions, which will leverage corporate resources, opportunities, and accountability-based assignments, which will ensure the plan gets done.

Many leaders have difficulty projecting beyond the next few months in their corporate lives or their personal lives. This is a major challenge, especially for organizations experiencing or desiring rapid growth. Planned change is obviously preferable to spastic change. It is often said, "I can't plan anything because everything is changing so fast and I can't count on things staying the same for very long." Although this is true to an extent, it is still a fact that some people lead market changes and other types of major change.

Bill Bean, in his book, *Strategic Planning that Makes Things Happen* (1993), differentiates between Vision and Mission. The following clarifications (even formulas) are offered.

1. A Vision statement answers the question, "Where are we going?"
 - What will our primary products or services be in five years?
 - What will our primary markets be in five years?
 - Who will our primary customers be in five years?
 - What will our exclusive differentiating benefit be in five years?
 - What will the geographic coverage of our enterprise be in five years?
 - How big will our enterprise be in five years in terms of total sales, total number of employees, locations, types of locations, etc.?
2. A Mission statement answers the question, "Who are we and what do we do?" Look at the examples below for clarification.
 - The XYZ company delivers performance technologies and profitability systems (what we intend to accomplish/provide),
 - resulting in enhanced performance for our clients and proper returns for our stockholders (results to customer and owners),
 - based upon a foundation of integrity and respect for the individual (values and beliefs).

In addition, the following definition of a Purpose statement is offered for your consideration.

A Purpose statement answers the question, “What will be the benefits to ourselves and the community we serve if we accomplish the vision?”

It is carefully crafted and compelling language that captures the essence of why everyone would be willing to move ahead toward the vision. A purpose statement articulates what the ultimate benefits will be to the organization and those it serves. It can be included in the vision statement or be separate from it.

Let our advance worrying become advanced thinking and planning.

Winston Churchill

Experienced leaders know they cannot enlist people in moving toward a preferred future unless those people are willing to do so. If people are involved in creating or defining the statement of vision and purpose—instead of having one thrust upon them from “on high”—they are much more likely to accept it and work hard to achieve it. This is one of the most difficult skills for leaders to develop and practice.

The principle involved here is that people will implement what they help to create. A vision statement helps everyone become of the same mind about the direction of the organization and the purpose statement helps people understand the importance and potential power and impact of moving forward together toward the vision.

Examples of Vision, Mission, and Purpose Statements

Vision without action is merely a dream. Action without vision just passes the time. Vision with action can change the world.

Joel A. Barker

The following conceptual statements were developed by Consulting Resource Group to articulate its understanding of its long-range vision and shorter-range mission, with an articulation of the specific purpose that will produce benefits for the company and for the clients it serves.

Vision Statement

Consulting Resource Group (CRG) is a global resource that strengthens and develops growth and leadership in individuals, families, and organizations.

Mission Statement

CRG creates, produces, and teaches innovative learning and leadership systems for key leaders around the world, so they can teach these systems to others.

Purpose Statement

Our purpose is to develop people at the spiritual, intellectual, emotional, interpersonal, and physical levels so they can live to their highest potential and live more fulfilled lives.

Once there is some reasonable level of consensus regarding the vision, mission, and purpose statements, it is time to move on to developing a strategy that will close the gap between the

current state and the future state. Most companies find vision-casting and arriving at true consensus very difficult.

It is, however, the foundation of all else that will occur in the enterprise—and must be handled in a genuine and honest way. Kotter (1996), in his book, *Leading Change*, is emphatic when he states, according to his research at Harvard University, that there are eight major reasons why organizations fail. Several of them relate to the issue of vision.

1. Allowing too much complacency
2. Failing to create a sufficiently powerful guiding coalition
3. Underestimating the power of vision
4. Under-communicating the power of vision by a power of 100
5. Permitting obstacles to block the new vision
6. Failing to create short-term wins
7. Declaring victory too soon
8. Neglecting to anchor changes firmly in the corporate culture

Now that we have explored the potential of clarifying and coming to consensus about mission, vision, and purpose statements, let us now turn to the next skill: Strategy Consensus-Building.

TL Skill #44. Strategy Consensus-Building

The words strategy and consensus are combined here because a strategy does not get implemented without consensus.

The words strategy and consensus are combined here because a strategy does not get implemented without consensus. Ken Blanchard, in his book, *Mission Possible*, puts it well when he says, “Getting people to break out of their current world view while continuing to operate within it is difficult even for the best of us. Yet in today’s competitive markets, it must be done. We have no choice. We must work on the present and the future at the same time.”

The Strategic Planning Technology process and materials can be found at the Haines Centre for Strategic Management in San Diego, California (<http://hainescentre.com>). Stephen Haines’ comprehensive strategic planning workbook, *Reinventing Strategic Planning for the 21st Century: A Systems Solution*, is based on his book, *Sustaining High Performance* (1995). There are many other strategic-planning resource materials, as well.

This systems-based planning process is highly recommended because it is extremely practical, comprehensive, and as simple as possible (“Everything should be done as simply as possible, but not simpler,” Einstein said). It is based on a review and further development and integration of other approaches to strategic planning. The Centre for Strategic Management also offers some of the best strategic planning training for consultants and managers. Even if you have a PhD in organization development you likely won’t actually know how to *do* it successfully. That is why,

unless you attended a very practical MA or PhD program, you will need training beyond degrees in order to learn these skills. Much of Dr. Anderson's post-graduate training and certification was done at the Haines Centre in San Diego over a period of 20 years.

Stephen Haines' approach covers many of the skills outlined so far in this chapter. His book is recommended reading for understanding in greater depth and with more precision what the strategic change and planning process is about. Most people have never seen a strategic planning document with an implementation plan attached to it. It would be very helpful to obtain a copy of one of the above references to learn more about this important issue than space permits here.

Plan a Two- or Three-Day Strategic-Planning Retreat

Unless the leader is knowledgeable and skilled in the practices of strategic planning, it is best to employ a facilitator, either internal or external, who has a track record of doing it very well. A good plan and a leadership team that can function with consensus will produce far more benefits than the cost of the facilitator.

A leadership team, consisting of senior management and representative leaders throughout the organization, must be present for such a planning session. Otherwise, it will be difficult to attain any measure of consensus, acceptance, and enlistment in the plan. In fact, if the senior team is not present and supportive of the plan, the rest of the organization will not likely take it seriously.

Strategic planning can be done in regularly scheduled meetings but, as is true for most leaders, planning is not done well unless leaders can get away for a few days each year for effective and focused reflection and visioning.

Many leaders do their own review of progress and long-range planning at regularly scheduled times, both corporately and personally. This can become an annual tradition that is both refreshing and challenging.

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The description of the skill of strategy consensus-building is as brief as possible here, specifying what a leader must learn to have the transforming impact sought and expected. This skill involves leading—or having a facilitator lead—the leadership team through reviewing past performance and setting goals and objectives to close the gap between the present and the articulated preferred future.

If a facilitator is brought in from the outside and will not be staying on to help, the leader or someone in the organization must be prepared and available to lead the implementation process. Failure to give sustained, determined leadership to the implementation process means it will likely falter.

The steps involved in this skill are as follows.

1. Review all data. This can be the data collected during the informal and formal assessments using Skills #37 and #38. There needs to be some type of organizational assessment to pinpoint successes, failures, strengths, weaknesses, opportunities, and threats.
2. Conduct an SFSWOT (**S**uccesses, **F**ailures, **S**trengths, **W**eaknesses, **O**pportunities, **T**hreats). This is an expanded version of what used to be called the SWOT (**S**trengths, **W**eaknesses, **O**pportunities, and **T**hreats) analysis. For obvious reasons, it is important to include facing failures and celebrating successes in the assessment formula. This involves an honest appraisal of the organization and using this information to identify and prioritize all the above issues so they can be addressed.

It is best to have objectively collected data, such as that collected through questionnaires, and subjective data from face-to-face interviews. The findings from each source should support the other. If they do not support each other, begin to suspect the validity of one approach or the other. One thing you don't want is information that is false or wrong!

One fast way to get this done is by administering the Police Organizational Performance Assessment (POPR) that is available in print-based form here

<https://www.dropbox.com/s/u3sxs89fcsznc4k/3%20POPR%202017%20v1.pdf?dl=0>) or you can use a web-based technology like www.SurveyMonkey.com.

The external environmental scan is also a very important piece of information that can make or break the future success of an organization. For example, the funding formula for a mid-size police organization was such that, like other police departments, it was given funds to pay a certain number of officers based on the number of people who live in the community at the time.

As happens in numerous cities, this funding formula is based on assumptions that do not encompass all of reality. A traffic and crime analysis study revealed that over 300,000 vehicles from out of town moved through the community every day and that over 70 percent of all crimes committed in the community were committed by people who did not live there.

Therefore, if this organization continues to work under this kind of understaffed conditions, the result will be both burnout and failure to provide even barely adequate policing services to the community.

Prioritize five to seven strategic imperatives that will move everyone toward the vision. Stephen Haines calls these major goals Key Success Factors because, when accomplished, they will result in successfully realizing at least a part of the preferred future scenario. It is important to state these strategic statements in language that will make their execution measurable.

The goals should be stated in concrete, believable, achievable, and challenging language.

It is fine to have more than five to seven goals, but most teams find it difficult to focus on more than five to seven main goals at a time. It is based on the 80/20 Rule, which suggests that you want to spend 80 percent of your time doing the 20 percent of the things that will achieve 80 percent of the results you want to achieve. The other goals are important, as well, but not nearly as important as the success factors that will transform the organization and its people from where they are now to where they want to be.

The goals should be stated in concrete, believable, achievable, and challenging language. The following are examples of clear goals.

One Police Department's Strategic Imperatives List

These are the five strategic imperatives that most members presented at the optimization meeting and felt could be supported and most successfully implemented organization-wide.

1. Violent Crime
2. Drugs
3. Youth
4. Traffic Services and Road Safety
5. Property Crime

Leaders establish the vision for the future and set the strategy for getting there.

John P. Kotter

All managers and supervisors at a strategic planning session agreed these five strategic imperatives should become the organization's primary focus for implementation . . . but that the other strategic initiatives are important. Some of the members at the optimization meetings emphasized the need to build:

- a strategic foundation of wellness in the workplace;
- professional excellence in leadership; and
- learning that results in effective strategic planning and execution in various ways by all members of the organization.

Graphically, this foundational relationship is represented as follows.



***The Importance and the Benefit of Connecting Implementation to Planning:
Create a Document to Account for the Degree of Success***

The detailed implementation initiatives under each of the strategies are outlined in the organization's Five-Year Plan itself. The actual action initiatives are being hammered out at the unit levels by Unit Leaders responsible for implementation. It is useful to have a plan and a reporting mechanism because community leaders want you to tell them what you are promising to do, then prove it has happened within a reasonable period of time.

Policing agencies who base their plans on the community's needs and community's "felt pain" and who successfully implement the plan will be held in high regard. The Continuous Improvement Team in the organization will have these strategic imperatives as its main focus of activities. The document that records the success of the teams in implementing the strategic imperatives and initiatives becomes an annual report that justifies and accounts for the organization's success rate.

- Participants leave such planning meetings with a living document—a strategic plan that does not become like the familiar SPOTS (strategic plan on the top shelf).
- There will be a plan on which the attending leaders agree and that they will take back to their teams for review and editing—only to bring it back to the next meeting for additional refinements.

If leaders ask the people who are directly involved with the work, these people will say whether they have agreed to “buy into” the plan. Do ask them! If they do not buy into it, the level of success in plan implementation will be seriously diminished.

In one government organization, six leaders attended the planning retreat. They returned to the workplace to meet with 24 supervisors to explain the plan and get their input and revisions. The final draft was discussed with each supervisor’s work team members—by the supervisors in face-to-face, one-on-one interviews—and further revisions and refinements were made.

*It is a terrible thing
to see and have no vision.*

Helen Keller

Through this process, people found they could be heard, that there was a pipeline to senior management, and that their comments were taken seriously.

When an individual made objections or suggestions, no one said he or she had not been consulted or heard.

Some employees recommended fundamental changes in the workplace and processes that enabled better customer (both internal and external) service, better working conditions, improved communications, lower stress, and higher morale. Front line workers had a transforming effect on the organization.

Union members found themselves more willing to engage in two-way communication and problem-solving sessions with management. They were transformed into team members who felt important and who were, in fact, significant to the overall health and performance of the organization. They also implemented about 85 percent of the plan—a good score compared to most teams.

Once the plan has been accepted by a critical mass of people in an organization (at least 60 percent of all staff and 90 percent of all leaders), it has a good chance of succeeding. This is especially true if negative leaders, who can impede progress in making change, are dealt with in a pro-active manner. Negative team members can do the same thing but on a smaller scale.

Jack Welch dismissed many of the managers when he took over as CEO at General Electric, because he was not willing to work with people who either were not high performers or people he believed would not support his vision.

In a small organization, it is possible for the implementation planning to take place in one leadership team, and then be delegated to team leaders.

In larger organizations, it is likely that each leader will do implementation planning in each department and meet with the senior leadership team to ensure cross-functional team communication and effectiveness. Once goals are set, implementation planning can take place. The next step is to look at the skill involved and the process of planning itself.

TL Skill #45. Implementation Planning: Specifying and Implementing Steps, Dates, and People to Expedite the Achievement of Goals

This skill involves formulating a set of steps that translate the general goals into action-oriented language to make them more achievable and exciting. Being as specific as possible about these steps, timelines, and responsibilities for action can bring team members together and cause a synergistic, energy-releasing effect that gets results.

The increased energy released by careful implementation-planning is well worth the effort and time it takes to formulate such a plan. A thorough plan makes it possible to clarify, in the minds of team members, who will do what, why they will do it, and how they will do it. A brainstorming approach is often most effective in stimulating a discussion of a wide range of options for possible implementation.

An example of an effective goals and action planning sheet is available online at this book's Website in the Toolbox section. This sample of what Bill Bean calls a chronological action plan list is a key step in turning carefully crafted goals into action and results.

The increased energy released by careful implementation-planning is well worth the effort and time it takes to formulate such a plan.

Without translating goals into clear, time-bounded, person-responsible actions, it is unlikely that disciplined implementation will ever occur. When interventions are carefully planned, that creates more effective scenarios and implementation will be enhanced. Some planners even use project-planning software to track the implementation of the strategic plan.

Once developed, the list of action plans can be sorted according to due dates. This becomes a vital tool for use by the leadership of the organization for tracking and managing the ongoing strategic initiatives of the company or group. It provides a simple method to stay focused on a monthly basis in a way that maximizes clarity, specificity, and accountability for action.

This document can be very practical and simple at the section or unit level. It can be generated in point form and assembled by one person in the organization into a complete strategic document. Here is an example of a [strategic plan template^{xxxiv}](#) that will give you a clear example of how specific the plan must be in order to be effective enough to track progress. Once you create the planning and implementation record that you can report the results of quarterly and annually.

TL Skill #46. Strategic Plan and Team Performance

For some reason, the new moon shows up every month as some kind of reminder that a cycle has occurred. We have monthly financial statements, invoices, bills, etc. How about a monthly meeting to discuss what was said about what was going to happen to move the strategic plan ahead and to review and improve team performance? Even among committed partners, this is extremely difficult to do. If people are disciplined to do it, however, the following will result.

- Everyone will celebrate together the various accomplishments you have achieved.
- Tracking will occur on how realistic the plan is and how to make course corrections early.
- Up-to-date minutes will provide all team members with a brief record of plans and results.
- Everyone will report on what they said they would do, to hold one another accountable.
- There will be balance between the long-term plan and the demands of daily operations.
- There will be the big picture view of the organization and discussion on how to improve current operations and prepare for the shifting future.

The globally competitive marketplace and major world events impacting world economy have driven the excellence movement. This demands excellent strategic planning and operational implementation of the plan or, as Tom Peters said, “we may die in the marketplace.” In our post 9/11 world, if we fail to be strategically successful in dealing with and preventing terrorist activities, we may face more serious consequences than dying in the marketplace.

The monthly executive review meeting is unquestionably more important than anything that is done to ensure implementation is achieved in the most effective way possible.

The monthly executive review meeting is unquestionably more important than anything that can be done to ensure implementation is achieved in the most effective way possible. The greatest success in building executive teams is achieved in the context of this type of meeting because it develops the team, teaches the skills of teaming, and gets the planning job done at the same time. Many, if not most, strategic planners and well-meaning busy executives fail to teach and install a review system that really functions on a monthly basis.

This is a matter of critical importance. If a beautiful and versatile plan is designed but not implemented, what use is it? The following sample agenda from Bill Bean illustrates how the relationship between planning and implementation can be strengthened to achieve maximum potential.

XYZ Company Monthly Executive Review Meeting

Agenda

- I. Review of key indicators
 - A. Financial indicators
 - B. Business indicators
 - C. Other indicators
- II. “Two-minute” drills
 - A. Each person: key highlights from his/her area
 - B. New issues to be addressed in plan (see IV.A)
- III. Review of strategic action plans

- A. Past-due (done yet?)
 - B. Current (on time?)
 - C. Upcoming (on track?)
- IV. Address new items/adjust strategic plan
- A. Discuss new items; reach closure
 - B. Assign new action plans, as needed

*Adapted from Bill Bean and Ron Ford, Turbocharging Your Business, Cardiff, CA: Strategia, 1996.
Used with permission.*

To build the monthly executive review into your executive team's agenda, it is necessary to understand the benefits and the process. Here is a list of the benefits.

1. It stimulates getting the job done.
2. It is extremely time efficient—1 to 2 hours per month.
3. It ensures that the strategic plan becomes a living plan, continuously updated with new action plans, as necessary.
4. The right people are kept up-to-date with the right information at the right time, with the right level of executive focus and individual accountability.
5. There is a monthly check of the two critical components of performance: monthly operational performance and strategic action-plan implementation success. The process involves having those leaders responsible for the implementation of the strategic plan meet together in person or via teleconference or videoconference to review the agenda items.

TL Skill #47. Leading Teams Toward Continuous Learning for Continuous Improvement

As stated in various parts of this book, it is necessary to build a leadership organization that has the ability to implement such change to become what Senge has called a learning organization. Senge describes the new leader as a “designer, steward, and teacher responsible for building organizations where people continually expand their capabilities to understand complexity, clarify vision, and improve shared mental models.” He says such leaders are responsible for making sure that learning happens.

Whether or not the decision is to implement some kind of Lean, or Six Sigma program, as recommended by one theorist or another, is not as important as whether or not there is the commitment to learning. There must be a commitment to learning what citizens want, what organizational staff want, and how the organization can continuously do better to meet and exceed citizen expectations to create what Blanchard calls “raving fans.”

The Golden Rule: treat others the way you would like to be treated.

Total Quality Management (TQM) theory states that quality is defined by the customer. TQM is a systems approach to being accountable for checking, to make sure there is communication and responsiveness to both internal and

external customers. The ultimate purpose of doing all of this is to **create return “customers”** who are wowed by the way they are treated. It is pushing the Golden Rule—treat others the way you would like to be treated—to the maximum. TQM is characterized by this customer focus, total organizational involvement, continuous improvement of processes, and fact-based decision-making.

The use of the word *customer* in police organizations is a recent phenomenon and not without controversy. A long-standing notion is that the type or quality of service delivered by the police is best determined by the police. This was predicated on the concept that the police “know best” what the customer needs. After all, the police are the experts. Customer “wants” were of little consequence.

Perhaps the local community advisory group would provide information that the community concern was traffic-related. Once presented to the police, the issue may well have been ignored by police in favor of what police managers perceived as more significant policing issues. This paternalistic attitude by some police managers offered substantial resistance to the idea of a customer-generated definition of quality service.

An acknowledgment of the concept of internal customer service was exhibited several years ago in the detective branch of a municipal police department. In their strategic plan, the organization established goals and objectives related to community (customer) satisfaction. In an innovative step, the detective unit formulated strategies that acknowledged that the uniform branch of the police service was a customer to which it provided a service.

The most important point here is that a Transforming Leader initiates and sustains a quality movement within his or her own organization – with executive teammates and partners – to do most of the work.

The strategies contained within the strategic action plan recognized the detective unit had an obligation to provide a quality response to requests for further investigation and file disposition forwarded from the uniform branch.

The measurement of success of the strategy was based on the level of customer satisfaction as determined by complaints received during scheduled uniform-

branch supervisor feedback and on the number of file dispositions. The supervisor feedback showed an almost immediate drop in the number of complaints received and the file dispositions increased.

In police organizations that provide services to agencies other than their own, concepts such as TQM and ISO 9000 Series (International Standards Organization) are more familiar. The other agencies or government departments are seen as clients that expect a professional level of service delivery. Checks and balances to ensure service quality are more the norm in these cases. Forensic laboratories are a prime example of this type of police service.

The most important point here is that a Transforming Leader initiates and sustains a quality movement within his or her own organization—with the executive teammates and partners—to do most of the work. These people used to be called employees. Space is not available here to go into the detail needed to do justice to an introduction to TQM, but it is important to learn more about it.

Consider reading Juran on *Quality by Design* (1992) or a more innovative addition to the literature on TQM leadership by Michael Cowley and Ellen Domb (1997). These resources provide a more in-depth understanding of the nature and applicability of the quality improvement processes that have revolutionized—not evolutionized—modern business in the past 30 years. In your mind just review what has happened to watches, cameras, phones, electronics, and automobiles in terms of continuous improvement for the past few decades. Businesses were required to do continuous improvement just to survive the competition and now the public is demanding that the justice and public safety sector measure up! Get ready for more accountability!

TL Skill #48. Building Accountability

It is possible to install accountability at all levels within the organization so that everyone experiences what might be referred to as no-doubt contracting. This means all interchanges, both verbal and written, are characterized by agreements between/among people.

For example, all job descriptions can become working agreements if they are perceived as living documents that describe what people have promised to do for one another, what is hoped to be accomplished, and what roles all will play, etc. Having fair, equitable, non-discriminatory personnel policies is another way to be accountable.

It is also possible for all partnership agreements, contracts with clients, and customers—both internal and external—to reflect agreements that took place in conversations characterized by two-way communication and mutual commitment.

To assist accountability, there are executive monthly review meetings and the implementation of Lean, Six-Sigma and TQM initiatives. In other words, no-doubt, no-surprise contracts and commitments can become the dominant way of life in the organization. And most people actually do want clear expectations and performance standards for everything from pain-free dentists to competent police officers who can gracefully arrests suspects so that they thank her for how she did it.

The International Standards Organization (ISO) wanted accountability and no-doubt contracting among countries when it started the ISO series in 1947, as a preferred way of doing international business after WWII was over. As a result of this commitment almost 75 years ago, much of the private sector may have to certify and register their companies with ISO in the future to engage in certain types of international business. Many organizations will only do business with ISO-

certified companies. This trend is particularly noticeable in the security, airlines, and medical sectors.

Accountability is a Part of Honest Leadership that Leads to Credibility

In addition to honesty, being forward-looking, inspiring, and competent were among the top characteristics Kouzes and Posner found were preferred by those who may be willing to follow someone's lead.

characteristics needed by the ideal CEO in the year 2000. Respondents expect their CEO to be above reproach.” Kouzes and Posner have since published a revised edition of *Credibility* (2011).

In addition to **honesty**, being **forward-looking, inspiring, and competent** were among the top characteristics that Kouzes and Posner found were preferred by those who may be willing to follow someone’s lead.

Based on the above, it seems clear that it is best to be seen by team members as honest, caring, competent, inspired, informed, knowledgeable, capable, likable, in a position of authority, and trustworthy—if the leader is to be given the trust needed to unify and move a team in a particular direction. This can be accomplished by the leader’s first making sure he or she is leading a team that he or she has real ability and knowledge about how to lead a team.

Talk about yourself, but not boastfully. The team members need to know something about the leader’s background and why that person deserves to be in this leadership position, e.g., because of confidence, experience, knowledge, power, etc.

The trouble with learning from experience is that you never graduate.

Doug Larson

Kotter (1979) studied many of the ways leaders gain credibility and power in teams and organizations. He illustrates how many of the success behaviors of influential leaders can be learned. Personal credibility will be better established if Kotter’s general guidelines are followed.

- State your own purpose (based on your own inner clarity) for being in your role as leader. Let team members know you are in harmony with and attempting to achieve your organization’s purposes in ways that uphold the organization’s values.
- Communicate and check for the validity of the needs and wants you hope to meet. In this way, you will gain awareness of the degree of real or imagined consensus about these critical issues. This can save you the embarrassment of attempting to meet needs or solve problems only perceived as relevant by a few.
- Communicate how you intend to work, in a respectful and helpful manner. This is critical if you want people to feel comfortable and have a sense of trust in you. If they perceive you as a potential threat or a non-caring person, you will not get their support to accomplish goals.

- Value the worth and potential contributions of the other members of the team. Look for opportunities where team members can gain various kinds of recognition or rewards for being involved in the work group's endeavors.
- Model good team-member and leader behaviors, which include all the communication and problem-management skills outlined in the previous two chapters. In this way, you will gain acceptance and trust more readily.

The next chapter will discuss how the knowledge and skills presented in previous chapters can be applied in a creative, flexible, and responsive manner through style-shifting, role-shifting, and skill-shifting. This will assist the leader in developing the versatility skills so important for Transforming Leadership success.

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7

The Skills of Versatility: Style, Role and Skill-Shifting

Think about the productivity of employees who bring motivation, imagination, and energy to their work—who have spirit. If you wish all your employees were that way, you know that work spirit is a serious, not soft, subject.

—Sharon L. Connelly

Introduction

Versatility skills help you develop your own style and become more responsive to the unique and changing characteristics of individuals, teams, and organizations. Once you have begun to master the skills in the previous chapter so that you are able to do them on your own, without coaching, the next step is to get good at their application.

*All the world's a stage,
And all the men and women
merely players.
They have their exits and
their entrances,
And one man in his time
plays many parts,
His acts being seven ages.*

William Shakespeare

For example, it is one thing to compose or begin to play a piece of music; it is quite another to practice and develop your ability to play well. Quality, productivity, motivation, imagination, the willingness to sweat and persist in the face of stress and occasional exhaustion—all these factors, when blended together, can produce unforgettable performances. People who are willing to go all out are doing so for good reasons. Star athletes are an example of those who train until their maximum potential is unleashed.

Someone has mobilized them or they have motivated themselves with clear vision, hopes, ideals, and expectations of rewards. They have enthusiasm and enjoyment for the process of succeeding.

In a similar way, Transforming Leadership has the potential to empower leaders and their teams of leaders to achieve higher levels of impact, to motivate and move people to take new action and reach for extraordinary levels of achievement and reward. This can simultaneously stimulate the development of all those involved together in the endeavor.

*People don't resist change
itself; they resist being
changed.*

Terry Anderson

To achieve these heights, leaders do not necessarily have to be charismatic. But they do have to be effective in shifting to meet the dynamic needs of people and the changing demands of fast-moving environments.

The following Transforming Leadership skills are discussed in this chapter:

TL Skill #49	Assessment of Personal Styles	Page 245
TL Skill #50	Style-Shifting	Page 245
TL Skill #51	Assessment of Roles	Page 258
TL Skill #52	Role-Shifting	Page 258
TL Skill #53	Assessment of Skills	Page 270
TL Skill #54	Skill-Shifting	Page 270
TL Skill #55	Recognition of Organization Development Stages	Page 272
TL Skill #56	Facilitation of Organization Development Stages	Page 276
TL Skill #57	Formation and Facilitation of a Cross-functional Continuous Improvement Team	Page 293
TL Skill #58	Assessment of Leadership Skills to Help Yourself and Others Plan for Further Development	Page 295
TL Skill #59	Coaching other Leaders to become more Effective Leaders	Page 298
TL Skill #60	Lead Environmental Scanning and Initiate Proactive Responses to Future Trends	Page 303

The following specific objective statements summarize what will be accomplished in this chapter.

- Transforming Leadership's facilitative, "style-shifting, role-shifting, and skill-shifting" approach, which leaders can use to facilitate individual, group, or organization development
- The developmental stages of a group or organization to assess what interventions are appropriate in each stage and thereby intervene more effectively
- The steps and processes to design and establish a team or organization
- The future of Transforming Leadership as a new practice of designing and managing change

In his fascinating book, *Leadership Is an Art*, Max DePree states:

...it is fundamental that leaders endorse a concept of the value of persons. This begins with an understanding of the diversity of people's gifts and talents and skills. Understanding and accepting diversity enables us to see that each of us is needed. It also enables us to begin to think about being abandoned to the

strengths of others, of admitting we cannot know or do everything. The simple act of recognizing diversity in corporate life helps us connect the great variety of gifts people bring to the work and service of the organization. Diversity allows each of us to contribute in a special way, to make our special talents a part of the corporate effort.

Essential to the Transforming Leadership approach are concepts that relate to the acceptance and integration of diversity in others: the concepts of style-shifting, role-shifting, and skill-shifting. Learning to recognize different personal styles in others' behaviors can lead to more appropriate leadership responses and can bring forth the best in others.

Moreover, trying to shift roles appropriately—which involves shifting sets of skills, to respond accurately to individual differences and preferences—can improve communication, problem-management, learning, and leadership effectiveness.

Thus, style-shifting, role-shifting, and skill-shifting are presented together to provide a more comprehensive, versatile model to subtly capture many of the important aspects of leadership complexity. The model is defined, however, so that it will be practical and applicable in a wide range of settings.

In addition, the versatility approach leads to the development of not only greater emotional intelligence, but to the development of what we are observing is a kind of greater strategic, team, and organizational intelligence, as well.

This may seem like a grand expectation to offer to the reader, but if you will, think about versatility skills that emerge when you view Earth from a more holistic, 260-mile perspective . . . where you can shift from seeing separate elements, structures, functions, and events to seeing the overall processes and the interrelationships between them . . . like changing weather patterns that can become somewhat predictable and in the future perhaps somewhat manageable.

When the work environment is observed from this kind of detached yet focused perspective, you can discern patterns and respond to them with a versatile approach so it is possible to become more adept in the face of constant change. Learning versatility skills is like the wind surfer who becomes able to successfully and enjoyably respond simultaneously to the turbulent seas beneath the surfboard and the changing winds that may blow from any direction at any time.

With the new understanding gained in this chapter, leaders will find themselves responding more flexibly and therefore more appropriately to others and to the challenges of developing teams and organizations.

This chapter builds upon the knowledge and skills in previous chapters to develop expertise and even finesse in expressing your own individual approach to leadership—especially when the goal is to facilitate team and organization development.

The final thrust of this chapter will be to examine how to do more than just develop a team or organization. Some direction is presented on how to transform a well-functioning team or organization into a dynamic one.

The Impact of Leadership in Teams and Organizations

Organizations do not have a life of their own, separate from the individuals in them. Wittingly or unwittingly, it is the leaders in particular who shape the climate that influences performance and morale. They can and do have a tremendous influence on how people think, feel, and behave. A look back into the history of a person's own life, in the context of the social systems and values that were prevalent, provides an awareness of how many of the social factors and certain leaders have profoundly impacted an individual's development.

Transforming Leadership proposes to develop the core of each leader into a more versatile and creative master of positive change. This leader will then design and manage the quality, health, and performance of an organization or group.

When we consider the staggering impact that all social systems—especially the leaders in these systems—can potentially have on the development or destruction of the morale and fabric of people's lives, the need to develop innovative approaches to design and develop positive team spirit organizational culture becomes evident. As Bass (1985) has concluded from his research, "...transformational leadership will contribute in an incremental way to extra effort, effectiveness, and satisfaction with the leader as well as to appraise subordinate performance beyond expectations."

Transforming Leadership moves the development of a leader one step farther toward effectiveness and competency. It goes beyond communicating the important quality of charisma, the kindness of empathy, the insight of intellectual stimulation, and the benefits of providing rewards. Transforming Leadership proposes to develop the core of each leader into a more versatile and creative master of positive change. This leader will then design and manage the quality, health, and performance of an organization or group.

Style-Shifting, Role-Shifting, and Skill-Shifting: Versatile Wisdom for Inducing Positive Change

As suggested above, it is of prime importance in the development of such mastery that leaders develop not only skills but versatility in the use of them. The fluid concept of shifting styles, roles, and skills was observed in the most competent leaders and serves to capture the essence of the artistry and intelligence-in-action that Transforming Leadership asserts is so vital.

Examining the complexity of effective leadership allows a person to view his or her own behavior more keenly within the context of the overall environment. Further definition of terms for each of the three aspects of style-shifting will assist the reader to better understand some of the basic ideas that underlie the notion of versatility. **Style-shifting** is the ability to assess the unique style of another person, team, or organization and adjust your responses to better fit what is most effective in achieving your purposes—and to do this genuinely, without manipulation, while meeting the needs of others.

Role-shifting is the ability to recognize which of three major roles is most appropriate in any given moment, to thereby alternate among communication, counseling, and consulting interventions as the situation, person, team, or organization requires.

Skill-shifting is the ability to move gracefully within and between the three different sets of skills to accomplish various tasks, depending upon the circumstance or the developmental level of a person, team, or organization. As you skill-shift more appropriately, you will subtly increase your effectiveness in each of the three major roles.

It is important to develop the ability to act consciously and intentionally but also to spontaneously oscillate among and within each of the three roles and sets of skills. This may seem to make the process of leadership complex and difficult. Of course, it can be complex but the style-shift approach breaks down some of the complex reality of leadership behaviors into small enough chunks that each part can be practiced and learned before integrating it into a more fluid style.

Effective Transforming Leadership requires the ability to deal with complexity, break it into manageable pieces, intervene with a continuous alertness to the impact you are making to correct course, and respond afresh to a changing environment.

It is like learning to play jazz . . . first you learn the tune . . . then you learn all the major and minor chords, scales, and *arpeggios* that can be played around that tune . . . then you start to play around the initial musical framework that has been established by introducing some new melodic or harmonic patterns. Then, as you develop greater improvisational ability, your capacity to risk experimentation increases. And as you develop more expertise, the experimentation sounds more and more like ingenious innovation.

Sometimes, during an improvisational jazz session, naïve listeners only hear what to them seems like chaos, but the experienced jazz musician hears layer upon layer of kaleidoscopic order. When you listen to Bach, for example, you can often hear clear melodic lines and deviations from them that permeate each piece until its end.

The same kind of moving from simple to more sophisticated behavior is true for learning an individual sport, then a team sport—or learning to drive, then learning to drive in a race—or learning to communicate, then learning to love.

In summary, effective Transforming Leadership requires the ability to deal with complexity, break it into manageable pieces, intervene with a continuous alertness to the impact you are making to correct course, and respond afresh to a changing environment. Continuous vigilance to the impact of interventions will better enable the leader to shift styles, roles, or skills again and again, as it becomes appropriate to do so.

Transforming Leadership's Style-Shifting, Role-Shifting, and Skill-Shifting Model

Transforming Leadership is built upon a meta-model for lifelong personal and professional development that consists of learning several sets of skills. These skills were outlined in the

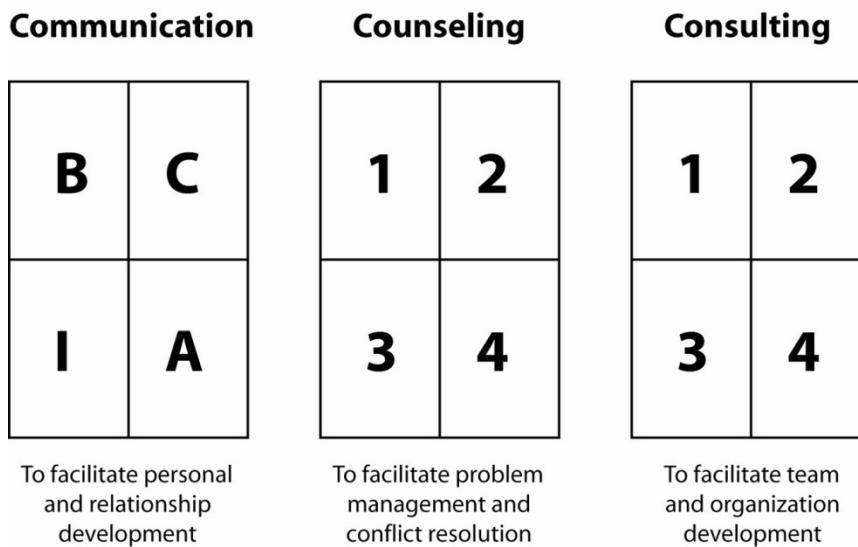
previous chapters. The style-shift model presents a new and practical synthesis of the various areas of skill.

The remainder of this chapter is divided into four sections.

1. Introduction to personal style theory and its application to Transforming Leadership in the form of style-shifting
2. Role-shifting to increase effectiveness in recognizing and shifting into appropriate role behaviors
3. Skill-shifting to increase effectiveness by recognizing and shifting into the appropriate skills to be used in different situations
4. Application of these various skills to develop and even transform a group or organization into one that functions and performs more dynamically and successfully

The shifting model, in its most basic form, can be expressed visually in the following way.

The Basic “Shifting” Model



In the **communication** part of the model above, the letters **B**, **C**, **I**, and **A** (see pp. 215-216) each represent different quadrants of personal style. Your awareness of them will tend to influence the way you approach an individual or even how you approach a team or organization.

In the **counseling/coaching** part of the model, the numbers 1, 2, 3, and 4 represent levels of task-specific functioning or development of the individual; they provide indications of how you might best approach that particular person for optimum appropriateness and effectiveness (as indicated in Chapter 6 on counseling skills).

In the **consulting** part of the model, the numbers 1, 2, 3, and 4 represent stages of group or organization development that require different approaches and skills to optimize the desired results.

Therefore, when utilizing the model above to plan for more effective interventions, you can take into consideration and learn more about the following:

- the factor of individual style;
- the appropriate role to be played in a particular situation; and
- the stage of development and functioning appropriate for you to use with an individual, group, or organization.

Below, the focus is first on understanding the factor of your own and others' personal styles and the importance of learning to shift your style to match the style preferences of others. If you do not develop versatility, you will demonstrate some degree of rigidity, which can detract from your credibility as a leader. As you learn to respond more flexibly to others, you will be perceived as more professional and effective.

Style-Shifting for More Effective Leadership Impact

Skills #49 and #50. Assessment of Personal Styles and Style-Shifting

Consider the importance of personal style assessment and style-shifting into approaches that match the needs and preferences of others. Learning to do this will increase your effectiveness when relating to or solving problems with others who have a range of different style preferences. It should be noted that style-shifting could also be used with teams and organizations as well as with individuals.

What Personal Style Means

Personal style—“a person’s habitual way of behaving or predisposition to act in everyday situations with most people.”

Terry Anderson

throughout a person’s life.

People tend to approach and interact with their surroundings, i.e., people, things, situations, and time, based upon their perceptions of them. Both Anderson and Robinson (1988) believe this part of the personality is largely predisposed from birth and further conditioned throughout life; it tends to strongly influence individual perception of and response to the environment

If this kind of natural filter does exist—through which each individual perceives his or her environment—it is important to identify that filter. Personal Style Theory asserts such a personal filter exists and attempts to provide theoretical constructs that delineate and explain the phenomenon. Without “pigeonholing” people, the term personal style reflects each individual’s predisposed and usually preferred way of behaving.

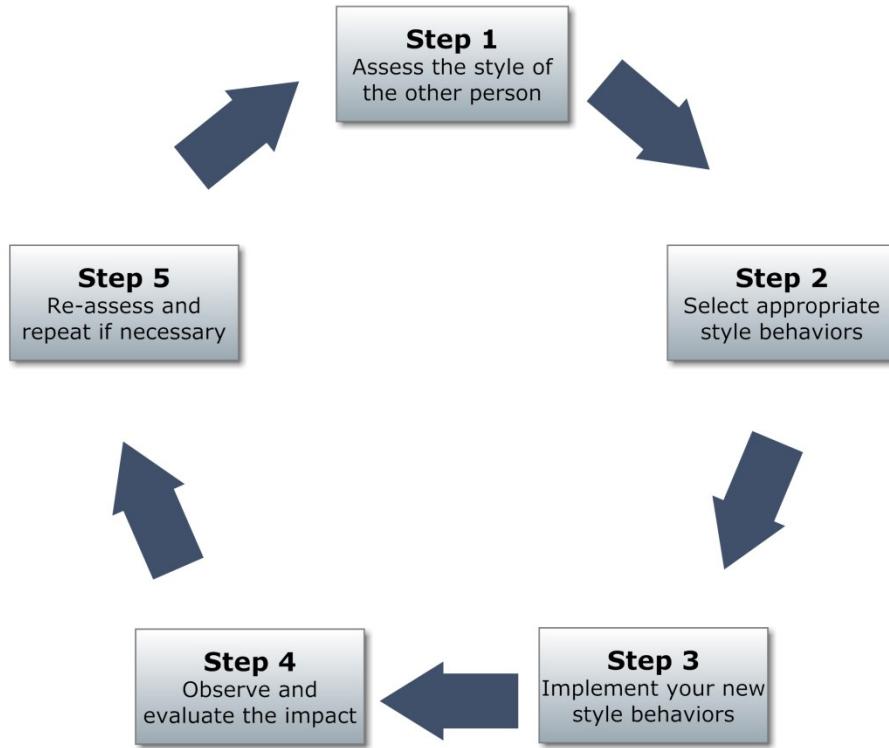
Anderson defined personal style in the above-referenced manual (1988) as “a person’s habitual way of behaving or predisposition to act in everyday situations with most people.” Robinson further defined it as “a person’s natural predisposition to perceive, approach, and interact with the environment.”

Thus, personal style includes characteristics of personality and behavior.

- Preferred manner of accomplishing a task
- Preferred manner of reacting to individuals
- Strengths and difficulties characteristic of a person’s unique style
- Natural reaction to stressful events
- Preferred manner of functioning in a group
- Propensity to lead or follow
- Predisposition to be extroverted or introverted
- Predisposition to be task-oriented versus relationship-oriented
- Predisposition to be right-brain or left-brain oriented
- Predisposition to be verbal or non-verbal

When you understand others in such a detailed and specific manner, you are in a better position to respond to them in ways that lead them in directions they more naturally go and assign them tasks at which they are more likely to succeed. This means that matching a person’s style with the work-behavioral requirements of a job can have a positive impact.

To assess the style of a particular job and assess the degree of “match” with your personal style, the *Personal Style Indicator* and *Job Style Indicator* are available online at
<http://www.CRGLeader.com/everyofficer>.



Personal Style Assessment

To accurately assess another person's style, it is necessary to observe and predict how a person or group will tend to act.

People who are versatile in their approaches to others will consider the individual style preferences of others and tend therefore to be more versatile and effective than those who do not.

To accurately assess another person's style, it is necessary to observe and predict how a person or a group will tend to act. With a model for style assessment, it is possible to observe and listen to a person and thereby determine which two or three quadrants of personal style are preferred by that individual.

Because it is a critical factor in the practice of Transforming Leadership to appreciate the unique tendencies, needs, and preferences of other people, groups, or organizations, it is important to become more proficient in assessing others' style tendencies so responses will be much more appropriate and well received.

Step One: Assessing Your General Style Tendencies

To gain a general assessment of your own style, read the descriptions of the four general quadrants of personal style (on the following page) that we extracted from a more extensive instrument called the *Personal Style Indicator (PSI)* that Terry Anderson developed with Everett Robinson (1988). After reading these descriptions, you will be able to gain a general picture of

your own style tendencies, which have an impact on how you tend to approach others. If you simply place a check mark by each item in all four quadrants of style (turn 2 pages ahead to do this), you can then count the number of check marks in each of the four styles and insert your scores in each box. This will give you a rough estimate of your style preferences.

*Do not do unto others as
you would they should do
unto you. Their tastes may
not be the same.*

George Bernard Shaw

You can also do a complete [Personal Style Indicator](#)^{xxxv}(PSI) online interactively and receive a 16-page In-Depth Interpretation (fee based). A print-based learning tool is also available on the same web site to those who prefer that medium for personal use or in training groups. When you order the newly published book by Dr. Ken Keis and Dr. Mitch Javidi, [Deliberate Leadership](#)^{xxxvi}, you get free access to the PSI (a \$45 Value).

Understanding the Four Personal Style Dimensions

BEHAVIORAL ACTION	COGNITIVE ANALYSIS
<p>This style dimension is characterized by a strong tendency toward altering the environment in a way that will achieve well-thought-out goals. Therefore, people who naturally operate mainly from this quadrant of style are likely to seem self-assured and driven, many times oblivious to other people's feelings and on a track of their own. When their vision is shared by a group, they are often seen as heroes and leaders because they tend to forge ahead to meet challenges with unusual fearlessness. This style position by itself is extroverted and can withstand greater stress. It does not favor artistic, aesthetic, or emotional modes of operating, but prefers a planned method by which previously defined goals and results are achieved. In this style, there is a clear sense of acting upon the environment to achieve these results.</p>	<p>This style dimension is characterized by a strong tendency to avoid being influenced negatively by people or environmental influences. This type moves toward goals often perceived as requirements of others in positions of authority. Attention to details and being on the alert for potential dangers or inconsistencies enable people with this style to maintain a better position of security and control. People with this style tend to avoid emotional intensity and unpredictability; they may especially need intimacy because they find that trust in others is not easily attained. This style position by itself is introverted, being more sensitive to stimulation. It does not prefer the sensory, emotional modes of operating, but tends toward logical analysis and correct performance of tasks, with an additional interest in the fine arts.</p>
AFFECTIVE EXPRESSION	INTERPERSONAL HARMONY
<p>This style dimension is characterized by a strong tendency to intuitively explore the environment and interact with it to assess the outcome. Spontaneous exploration and expression of ideas and feelings mark the natural tendencies of this style. People with a natural tendency toward this dimension of style are often attempting to influence others through the creative media of speaking, writing, dance, art, or music. They would like to sell others on themselves and ideas or products they believe will be helpful. They will go out of their way to help others, even if it inconveniences them because often they believe in the value of people. By itself, this style is extroverted, not being easily overstimulated by the environment. It does not favor the analytical modes of operating, but is more intuitive and creative in its way of functioning.</p>	<p>This style dimension is characterized by a strong tendency to adapt to people and surroundings to promote harmony and comfort for self and others. The approach to life and people in a practical, friendly, and naturally warm manner is typical of this style dimension. Adaptation to all other styles is a way of life, providing the desired security and balance needed and preferred by those who score higher in this style dimension. A desire to support others to gain a sense of validation and approval is a natural tendency. This style position by itself is introverted, being more sensitive to stimulation. It favors a practical balance of both the logical and intuitive modes of functioning, thereby avoiding extremes. In this style, there can also be a tendency toward stubbornness, especially if others are being overbearing.</p>

Understanding Your General Style Tendencies

BEHAVIORAL ACTION Score:		COGNITIVE ANALYSIS Score:	
<p><i>General Orientation</i></p> <p>To tasks: wants results now</p> <p>To people: seeks authority</p> <p>To problems: is tactical, strategic</p> <p>To stress: doubles efforts</p> <p>To time: sees future and present</p> <p><i>Typical Strengths:</i></p> <p>Acts rapidly to get results</p> <p>Is inventive and productive</p> <p>Shows endurance under stress</p> <p>Is driven to achieve goals</p> <p>Can take authority boldly</p> <p><i>Common Difficulties:</i></p> <p>Can be too forceful or impatient</p> <p>Can often think his or her way is best</p> <p>Can be insensitive to others</p> <p>Can be manipulative or coercive</p> <p>Can be lonely or fatigued</p>		<p><i>General Orientation</i></p> <p>To tasks: wants quality</p> <p>To people: seeks security</p> <p>To problems: analyzes data</p> <p>To stress: withdraws</p> <p>To time: sees past and future</p> <p><i>Typical Strengths:</i></p> <p>Acts cautiously to avoid errors</p> <p>Engages in critical analysis</p> <p>Seeks to create a low-stress climate</p> <p>Wants to ensure quality control</p> <p>Can follow directives and standards</p> <p><i>Common Difficulties:</i></p> <p>Can bog down in details and lose time</p> <p>Can be too critical or finicky</p> <p>Can be overly sensitive to feedback</p> <p>Can seem to be lacking courage</p> <p>Can be too self-sufficient, alone</p>	
<p>AFFECTIVE EXPRESSION Score:</p>		<p>INTERPERSONAL HARMONY</p> <p>Score:</p>	
<p><i>General Orientation</i></p> <p>To tasks: people come first</p> <p>To people: seeks to influence</p> <p>To problems: is intuitive and creative</p> <p>To stress: escapes from it</p> <p>To time: sees present and future</p> <p><i>Typical Strengths:</i></p> <p>Acts creatively on intuition</p> <p>Is sensitive to others' feelings</p> <p>Is resilient in times of stress</p> <p>Develops a network of contacts</p> <p>Is often willing to help others</p> <p><i>Common Difficulties:</i></p> <p>Can lose track of time</p> <p>Can "over-burn" and overindulge</p> <p>Can be too talkative</p> <p>Can lose objectivity, be emotional</p> <p>Can be self-orientated, self-assured</p>		<p><i>General Orientation</i></p> <p>To tasks: performs reliably</p> <p>To people: seeks to help others</p> <p>To problems: gives practical solutions</p> <p>To stress: adjusts to it</p> <p>To time: sees present</p> <p><i>Typical Strengths:</i></p> <p>Promotes harmony and balance</p> <p>Is reliable and consistent</p> <p>Tries to adapt to stress</p> <p>Sees the obvious things others miss</p> <p>Is often easygoing and warm</p> <p><i>Common Difficulties:</i></p> <p>Can be too easygoing and accepting</p> <p>Can allow others to take advantage</p> <p>Can become bitter if unappreciated</p> <p>Can be low in self-worth</p> <p>Can be too dependent on others</p>	

Once you have read through the four personal style dimension descriptions, you can do a general assessment of your personal style. After reading the instructions below, read through the chart above, Understanding Your General Style Tendencies. This information will assist you to become more familiar with your own and others' general style tendencies.

Instructions for a Quick and General Style Assessment

1. Place the number 1 in the quadrant (where you see the word "score") that you believe best describes you.
2. Place the number 2 in the quadrant that describes the style behaviors you would likely shift into next.
3. In one of the two remaining quadrants, place the number 3 in the quadrant that describes behaviors that are not very typical of you.
4. In the remaining quadrant, place the number 4, to indicate 4 behaviors that least describe the way you would act.

Now that you have reviewed your general style tendencies and have become more familiar with the four quadrants of style, you can begin to explore the value of assessing the styles of others and shifting into the various style behaviors they would likely prefer. Keep in mind you have done only a general estimate of your personal style; to gain more insight into your own unique style preferences, you can access your full report at the site above.

Note: The authors do not want to give the impression that the general style assessment you can do in this book is an in-depth assessment for you, but the directions above will help you estimate your personal style tendencies.

Step Two: Assessing Others' Styles and Style-Shifting

According to the field research of Anderson and Robinson (1988) and the experimental investigations of Merrill and Reid (1981), learning to assess the personal styles of others and to shift into an interpersonal style that best allows others to receive and understand messages is an often overlooked and effective skill. It can be learned in a relatively short period of time.

To learn some basics of how to assess others' styles and practice your style-shifting skill, see the four-quadrant grid that follows. Style-Shifting Guidelines offers general direction and hints for style-shifting effectively with the four style types.

If you complete the *Personal Style Indicator* first and read your full report before you do this, you will have a much better understanding of your own style and of personal style in general. Place the name of a person you know well in the quadrant or quadrants near the styles descriptions that you believe best describe that individual and that could assist you to approach the person more effectively.

General Style-Shifting Considerations

In examining the various needs and preferences of each style type, you can see why it is so easy to make mistakes out of ignorance with the number of individual differences there are among people. Below are some general considerations that can serve as guidelines for planning a response to the four types of people.

Behavioral, Action-Oriented

If you assess a person who is mainly action-oriented in style, you would give this person bottom-line facts in summary fashion and challenging assignments and opportunities. Do not distract the person with too many details or personal issues, get on with the task or job at hand, do not challenge him or her personally but provide brief evidence to support your challenge, and respect this person's high need for cooperation from others. These interpersonal behaviors appear especially important to these types of people.

Cognitive, Analytical

If you assess that a person has mainly an analytical, introverted style, you would provide detailed and comprehensive factual information, give ample time for decision-making, announce changes in advance, respect any areas of special competency, and show appreciation for efforts and accomplishments. These things appear to be especially important to people with this style.

Style-Shifting Guidelines

BEHAVIORAL ACTION	COGNITIVE ANALYSIS
<p><i>Wants others to:</i></p> <p>Provide summarized facts Respect his or her judgments Support him or her to reach goals Cope with unwanted details Cooperate with him or her</p> <p><i>Gets most upset when others:</i></p> <p>Are too slow Get in his or her way Talk too much Try to be in control Waste time</p> <p><i>Responds best to:</i></p> <p>Direct, honest confrontations Logical, rational arguments Fair, open competition An impersonal approach Getting results quickly</p>	<p><i>Wants others to:</i></p> <p>Give detailed information Ask for his or her opinions Not interrupt his or her work Treat him or her with respect Do quality work the first time</p> <p><i>Gets most upset when others:</i></p> <p>Move ahead too quickly Don't give him or her enough time Are vague in their communications Don't appreciate his or her efforts Are too personal or emotional</p> <p><i>Responds best to:</i></p> <p>Diplomatic, factual, challenges Arguments based on known facts Freedom from competitive strain Friendliness, not personal contact Doing tasks well and completely</p>
AFFECTIVE EXPRESSION	INTERPERSONAL HARMONY
<p><i>Wants others to:</i></p> <p>Give him or her opportunity to speak Admire his or her achievements Be influenced in some ways Take care of details Value his or her opinions</p> <p><i>Gets most upset when others:</i></p> <p>Are too task-oriented Confine him or her to one place Are not interested in him or her Compete for and win attention Seem judgmental of him or her</p> <p><i>Responds best to:</i></p> <p>Being challenged in a kind way An influencing, sales approach Enjoyable competition Affection and personal contact Having a good time</p>	<p><i>Wants others to:</i></p> <p>Make him or her feel like he or she belongs Appreciate him or her for efforts Be kind, considerate, thoughtful Trust him or her with important tasks Value him or her as a person</p> <p><i>Gets most upset when others:</i></p> <p>Get angry, blow up, or are mean Demand that he or she be too mobile Take advantage of his or her goodness Are manipulative or unfair Are judgmental of others</p> <p><i>Responds best to:</i></p> <p>A gradual approach to being challenged A factual, practical approach Comfortable, friendly times Respect for his or her boundaries Conventional, established ways</p>

Interpersonal, Harmonious

If you assess that a person mainly has a need for a harmonious approach to people and the environment, shift into providing social behaviors that show recognition and appreciation of services and efforts provided, offer a safe relationship climate relatively free of judgments and high pressures to perform, and provide opportunities for success through service to others instead of achievement of results. People with this style seem to appreciate and respond well to this approach.

Affective, Expressive

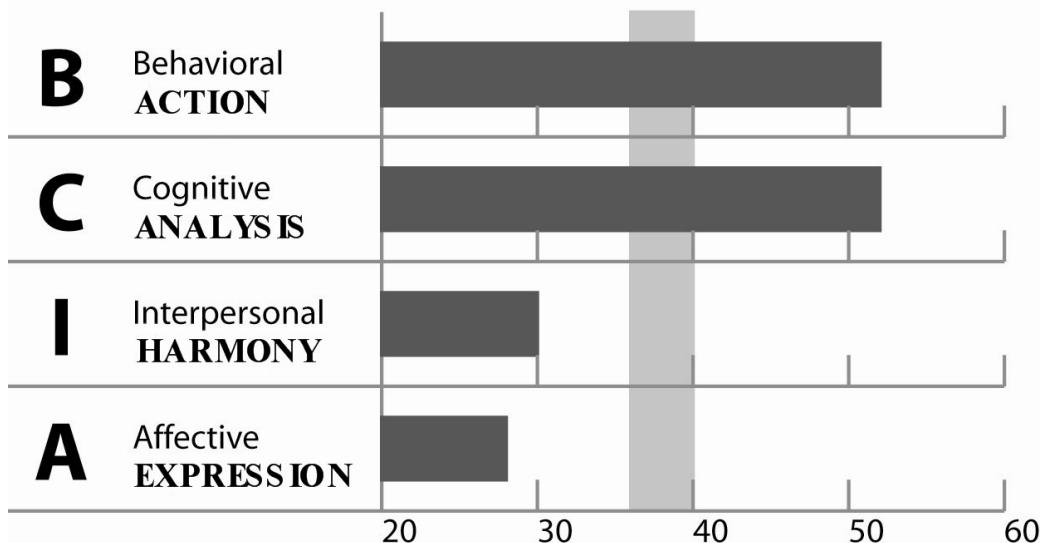
If you assess that a person mainly has this type of outgoing style orientation, you can best relate by giving recognition for achievements and self-presentations (performances, clothes, successes); listen more than you speak; provide opportunity for promotions and for earning money, traveling, and mobility; and do not supervise too closely or you can kill creativity in this type of person.

Developing Style Versatility: A Case Study

The Case of Sandy

Sandy is general manager of a West Coast paper distribution company that sells and delivers paper to printing companies.

Sandy's Personal Style Graph



- High behavioral (ACTION) and cognitive (ANALYSIS).
- Low interpersonal (HARMONY) and affective (EXPRESSION).

Sandy's Strengths

- Often gets quality results the first time
- Can process large volumes of information
- Can make objective decisions using a large database of information from many sources
- Challenges others toward excellence
- Acts as a model for others
- Is inventive and original
- Is careful to avoid pitfalls
- Provides guidelines others can use
- Ensures quality control
- Endures and persists when under stress

Sandy's Difficult Areas

- Is impatient with lower performers
- Can appear smug and as a “know-it-all”
- Can be insensitive to others’ feelings
- Can be lonely and fatigued
- Can be too critical
- Can be easily upset with critical feedback
- Can be too self-sufficient
- Can lack courage to face emotions
- Can get lost in details before deciding
- Can seem to be manipulative or coercive

Upon reading his In-Depth Interpretation, Sandy laughed. He said the description of him was better than 90 percent accurate and that because of it, he had become more aware of some things about himself he figured were his blind spots.

The Problem

Sandy is in charge of a sales force of nine people who tend to be predominantly high in the affective/EXPRESSION and interpersonal/HARMONY dimensions of style. They resent Sandy’s air of superiority and demands for high performance without any promise of rewards. They need recognition and appreciation from Sandy, but he rarely has time to give such “soft” rewards. He has only rewarded people for sales results that affect the bottom line.

He has, over the years, demonstrated inflexibility in his approach to others, becomes quite irritable with people who do not accept his domineering approach, and puts them down in front of others. The increases in company profitability were 3 percent and 5 percent during the past two years, respectively—not enough to keep up with inflation.

The turnover rate in the sales division and in the secretary and receptionist positions has been over 34 percent per year, primarily because these employees have had frequent contact with Sandy. Departing employees reported their primary reason for seeking work elsewhere was to avoid working for him. Sandy's wife left him three months ago.

The Intervention

Sandy took a one-day *Personal Style Indicator* workshop and learned his relationships with the people in his life have been characterized by a rather self-oriented and caustic approach; he often got short-term results by intimidating people in subtle ways. As a result of the workshop and the feedback Sandy got from his wife and the other managers just below him, he decided to change the way he treated the high **A** and **I** sales and support staff—and his **A**, **I** marriage partner.

He eliminated put-down statements and behaviors from his management style and added more interpersonal behaviors, such as expressing appreciation for a job well done, listening to others, and using their good ideas. He also looked others in the eye more often, without staring them down. He also hosted an awards ceremony, every six months, for those in the company who achieved agreed upon reasonable levels of performance; instituted an employee-of-the month recognition program for exceptional performance beyond what is expected; and instituted interpersonal skills training and team-building sessions for himself and his management staff.

The Results

After one year, the turnover rate decreased to 7 percent from the previous 34 percent. Two-way communication improved between Sandy and his employees at all levels. Problems that had previously been “swept under the carpet,” because most people avoided Sandy altogether, were solved. Overall profitability of the company increased 14 percent. Sandy's wife decided to try to re-establish their marriage relationship.

This is a dramatic example of how developing some interpersonal skills and versatility in the approach to people with opposite styles can affect the performance of subordinates and loved ones.

Understanding Style on a Broader Scale

It is important to realize that style shows up in organizational orientations and government leaders' approaches to politics and international relations. In fact, certain style tendencies can pervade whole societies.

Jack Welch, President of General Electric, had a very result-oriented approach, but tempered it with a balance of the interpersonal orientation.

Bill Gates has a very cognitive orientation with a strong backup of both results and creative-expressive tendencies. He said the greatest personal growth he ever experienced was when he got married and had children and had to stretch to learn the interpersonal orientation to people.

In government leaders, President Clinton was often perceived as demonstrating an affective/EXPRESSION and behavioral/ACTION orientation, acting upon the environment in an assertive and highly verbal manner.

The United States and Great Britain, as cultures, are often perceived quite differently from one another. The English, however, have described Americans as appearing more expressive than they are and the English are often described by Americans as having a tendency toward an analytical approach, being more reserved and stuffy, with the “stiff upper lip.” Of course, England and France have been experiencing clashes of style for centuries, in the same way that English-speaking and French-speaking Canada have, although in general, Canada, like Switzerland, can be seen as having an interpersonal/HARMONY orientation). The English find the free expressiveness of the French to be, at times, spontaneous to an extreme.

The perceived stuffiness and formality of the English make the French feel restricted, giving them the impression that the English may not be genuine.

Modern Japan can be seen as having a more complex combination of action, analytical, and interpersonal orientations (with an emphasis on the interpersonal/cognitive orientations, e.g., Infiniti/Lexus image). German culture can be seen as combining ACTION and ANALYSIS in its BMW and Mercedes quality image or orientation.

The Complexity and Benefits of Learning Versatility

Style assessment can be complex and difficult; the fact that style differences can cause serious difficulties between and among people is a reality that cannot be denied. In the past, they were often called personality clashes; people resigned themselves to their inevitability and were stymied by such events. With more knowledge and insight, however, you can learn to shift your approaches to people and thereby increase your effectiveness with them, reduce conflict, enhance leadership credibility, and facilitate the development of your personal and work relationships.

A Final Word of Caution about Style

If you want to become a more successful leader, become more aware, versatile, and appropriate in the way you respond to people, to teams, and to organizations.

You cannot confuse a person's personal style preferences with his or her intelligence, ethics, values, or character. Neither is it advisable to go around pigeon-holing or trying to impress people with a new knowledge of personal style. Personal style is but one aspect of personality among many aspects, but it is a very important interpersonal consideration and is now a sensibility expected among more sophisticated leaders.

If you want to become a more successful leader, become more aware, versatile, and appropriate in the way you respond to people, to teams, and to organizations.

The next section of this chapter examines the nature of the three major roles—and the tasks appropriate to accomplish in each role the Transforming Leader fulfills. It is important to keep in mind that a continuing awareness of "style" has a catalytic effect when a person is functioning in all three of the major roles of communicator, counselor, and consultant.

Role-Shifting for Greater Effectiveness and Appropriateness

Skills #51 and #52. Assessment of Roles and Role-Shifting

Proper role-shifting as a foundation of appropriateness is needed to build the base of influence and trust leaders need to help develop both people and organizations in a positive manner.

Appropriate role-shifting makes the leader's responses more effective and, in turn, a follower's response often more favorable. Proper role-shifting as a foundation of appropriateness is needed to build the base of influence and trust leaders need to help develop both people and organizations in a positive manner.

It is quite ineffective for a leader to attempt to function in a mutual—communicative or advisory—consultative manner with a resistant employee who clearly needs the problem-management approach of the counseling role. It is likewise counterproductive to "counsel" people who first need to develop a mutual, open-communicative relationship or to see they can work as effective team members with the leader as consultant and group facilitator.

What Is Role-Shifting?

Role shifting is the ability to shift moment to moment among three different sets of skills—depending upon the situations of people encountered.

Role-shifting is the ability to shift moment to moment among three different sets of skills—depending upon the situations or people encountered. The ability to shift among these three sets of skills when interacting with colleagues or team members is important so that interventions will have a greater likelihood of meeting expectations, needs, and preferences.

This may seem to make the process of leadership very complex and difficult. It can be complex at times, but a style-shift model breaks down reality into small enough chunks so that a person can learn each part of it before integrating the chunk into a larger picture.

Effective leadership requires the ability to deal with complexity, break it into manageable pieces, and intervene with a continuous alertness to the impact we are making.

One new police Assistant Chief hired from “outside” the organization said he gained credibility with team leaders by just listening to a wide range of their problems, to assist them to learn to work through the problem-management process, one-by-one, until the problems were resolved or managed. That is all he did for his first three months in the organization.

Then the Chief asked all the command staff to give him feedback by using an open-ended questionnaire on www.SurveyMonkey.com. Nearly all comments were positive and expressed strong gratitude and appreciation for this man’s exceptionally skilled, flexible, and caring approach.

Some of the problems he helped them resolve or manage had been entrenched in the organization for years. The Chief was very appreciative of his new executive team members’ skills and put him in charge of launching a Continuous Improvement Team and a leadership coaching program for all leaders and prospective leaders. The organization has benefited tremendously from the hiring of this one new manager.

In keeping with the evidence that effectiveness is related to complexity and versatility of leader behavior, discerning which of the three roles is appropriate with each individual, group, or organization in each moment will assist leaders to be more effective.

Further delineation of the three roles involved in role-shifting is presented below.

In the Coaching Role

Positive interpersonal communication is the appropriate mode when you want to develop a mutual but supportive relationship with a person. It is appropriate with co-workers, family, friends, and even acquaintances on a day-to-day basis. It forms the foundation of all relationships and is usually appropriate at the beginning of a relationship and for maintaining and building relationships.

It is the informal “glue” of respect that bonds any relationship; without it, a kind of robotic formality can interfere with the fostering of easygoing and effective relating with others. It is within this spirit of mutuality that we can all coach one another.

The police leader, for example, finds the building of relationships to be a recurring event that involves both new and experienced police members. A young officer comes into the police

culture, where the leader becomes the socialization agent. In this process, the young officer must learn the values and expected behaviors within the culture. Rituals such as shift briefings must be learned.

Learning is about more than simply acquiring new knowledge and insights; it is also crucial to unlearn old knowledge that has outlived its relevance. Thus, forgetting is probably at least as important as learning.

Gary Ryan Blair

The unique language of policing must be understood. While this regimenting process of organizational socialization occurs, the leader must ensure that channels of communication are not only open, but are used by the new hire. This is the time to establish the bond that not only permits but also encourages communication in times of question or crisis.

This kind of coaching or longer-term mentoring relationship is the key channel for new hires in getting their needs met to understand the kind of performance and attitudes that constitute a job well done. The organization's culture is transmitted in this relationship. Therefore, it is imperative that field-training officers are carefully selected to ensure the transmission of positive cultural values and competencies.

It is recommended that in addition to field-training officers for the training of recruits, special leadership training officers be selected and trained in interpersonal communication and coaching skills so they are able to effectively orient new officers.

It has also proved effective to provide such training to all leaders *before* they are hired in supervisory positions (rather than after they are hired). It is often the case in justice and public safety agencies that most new supervisors do not get leadership skills training until after they start their new role—if they ever do get competency-based training.

Establishing this coaching role becomes even more critical and difficult, however, because seniority in the organization—and consequently a broader experience base—becomes a factor. The socialization and stratification process occurs even among the most senior members.

Specialized police units are often rife with both visible and invisible rituals and ceremonies. The fact of belonging to higher ranks is often displayed by clothing or other visible markings. These specialized units tend to have a high level of comradeship—some may describe it as elitism; newcomers often must prove themselves as worthy of belonging. This strong social identity serves to strengthen the group cohesiveness.

There is, however, the potential danger of a group, either intentionally or unintentionally, establishing communication barriers to those outside the group. This may facilitate internal communication but create difficulties for those outside that team. If this occurs, the external leader must consider the most suitable approach to communication.

The coaching relationship established between the unit leader—either formal or informal—and the new arrival serves a twofold purpose.

1. It provides support to the newcomer and demonstrates to the group that the leader is building a relationship: a sign of acceptance.
2. It allows the leader to provide direction and, where appropriate, criticism, in a role-shift to counseling that assists in both the development and acceptance of the person to the group.

This role can include the more difficult aspects of interpersonal communication and counseling, such as giving and receiving feedback, assertiveness, challenging, and confrontation.

Some distinctions of this kind of coaching role, as opposed to the old “boss” role, are as follows.

The Traditional “Boss” Approach	The Coaching Supervisor Approach
1. Managing for results	1. Creating sustainable results/engaging
2. Controlling the employees’ actions	2. Empowering individuals to take better actions
3. Creating a fear of consequences	3. Creating a safe space for risk-taking
4. Focusing on weaknesses	4. Recognizing strengths
5. Pointing out failure/errors	5. Endorsing effort and growth
6. Reinforcing a “we/they” culture	6. Optimizing everyone’s styles and strengths
7. Solving all the problems	7. Helping others learn to solve and prevent problems
8. Listening to what employees are saying	8. Understanding what employees are meaning
9. Setting an expectation of long hours	9. Modeling a healthy work/life balance
10. Being the source of approval	10. Being the resource for collaboration and resolution

Used with permission from Coach U, (<http://www.CoachU.com>)

In the Counseling Role

Effective counseling that retains the quality of respect and collegiality and involves personal and interpersonal problem-management and personal problem-solving is most appropriate when co-workers, colleagues, or subordinates are having personal difficulties that interfere with their work performance or relationships with others.

Coaching often has already been tried without success. Therefore, acting as a facilitator of people’s personal and interpersonal development by counseling them toward specifying their own problems in relation to a problem situation (then taking effective action) can be a great impetus in keeping people, groups, and organizations unblocked.

*Change is the end result
of all true learning.*

Leo Buscaglia

This counseling facilitation may require exposing unpleasant realities to the individual. Such was the case when a senior police investigator sought a transfer to a specialized unit. When the members of that unit heard of the request, they responded vehemently to their supervisor against the idea of the transfer. There were significant historical problems with the applicant's relationship with others.

The supervisor had discussions with the applicant over a period of several weeks. As an experienced and self-confident officer, the applicant had an attitude of a "loner." Over the course of discussions that were partially based in reflective interviewing techniques, the supervisor was able to raise the applicant's level of understanding of how and why he was negatively perceived by the members of his new team. As a result of the supervisor's gentle confrontation, the team's need for harmony became apparent to the applicant.

The supervisor also worked with the team. Team sessions were held in which members had the opportunity to voice their concerns. What became evident was that very few could relate well with the investigator seeking the transfer. Their opinions were based on the applicant's reputation, something very common in policing and very often destructive in terms of organizational socialization. Once this reputation is locked in, it is difficult to change.

*The learning and knowledge
that we have, is, at the most,
but little compared with that
of which we are ignorant.*

Plato

The supervisor was able to bring the team members to the point of acknowledging that their negative predisposition was, in large part, based on rumor rather than fact and that interpersonal relations were negatively predisposed even before the new member's arrival. The supervisor was able to counsel the group—by using confrontation and challenging skills—into adopting a wait-and-see attitude with this person.

The supervisor successfully removed the block created by the group's distorted information, thus creating acceptance of the individual as a member of the team on a trial basis.

When the investigator was transferred to the specialized unit, the supervisor shifted to the coaching role and supported him to establish his credibility by developing self-disclosure and assertiveness skills and by bringing his wry but greatly needed sense of humor to work with him.

The supervisor arranged to have a brief coffee meeting with him every week where the new hire had the opportunity to verbalize feelings about what was occurring in the unit. The lack of an adversarial atmosphere in the unit led to positive interactions with the members of the unit. As time passed, the loner behavior began to disappear; positive socialization was clearly evident.

After a month, the supervisor invited the members of the team to express their observations of the new member to the supervisor. By doing so, each person verbalized that he or she could not provide any information that resembled the fears articulated only a short time before. Eventually the members began to express their feelings directly to the new member, who responded not defensively, but in an understanding manner.

It is appropriate to shift into the consultative mode or role when the person, group, or organization requires and expects the leader to do some kind of assessment, intervention, evaluation, and ongoing monitoring.

He had learned a great deal about from the supervisor's interpersonal communication, which helped establish trust and credibility, group dynamics, and member interdependence. The result was that soon, the group members were defending the new member against comments made by those from outside the unit.

This kind of relationship is where the counseling skills in Chapter 5 can be used to guide the development of a subordinate. This occurs by continuous observation and assessment, discussion, guidance, and encouragement so the subordinate learns directly by practicing new skills and benefiting from the manager's own expertise.

In the Consultative Role

It is appropriate to shift into the consultative mode or role when the person, group, or organization requires and expects the leader to do some kind of assessment, intervention, evaluation, and ongoing monitoring. There may be pressure to respond authoritatively or even sternly, perhaps because the position as leader causes others to expect decisiveness and resolve—especially when time for critical decisions is limited.

When decisions require an overall understanding of organizational factors of which others may not be aware, it is especially important to act cautiously and use this consultative mode. Even if a person is not in a leadership position, it can be appropriate at times to act in this role, especially if the action can be seen as effective and appreciated by positions above and below, in the organization's hierarchy.

The most useful piece of learning for the uses of life is to unlearn what is untrue.

Antithenes

Group identity among justice and public safety personnel tends to be very strong. This is particularly true in the areas that perform specialist functions. If a member of the group is seen as not contributing to the goals of the group, the negative reactions from unit members may range from moderate to extreme.

The acts of a single individual may cause the group to become dysfunctional. Because this can be dangerous in critical situations, it is reasonable to expect that members may become upset by the presence of a negative associate.

In policing, a senior investigator was transferred to a highly regarded specialized police investigation unit. Although well-liked by the group, the person was seen as not contributing to the professional-status goal of the group. Also, unit members believed the investigator was avoiding his share of the work being assigned.

In addition, the norms of the group had established an unofficial standard to which all investigators were expected to perform. Subtle peer pressure became more public. Eventually the unit supervisor began to sense a need to intercede and resolve the perceived problem.

There had been a history of performance issues for which the senior investigator had received counseling on a number of occasions. The unit supervisor tried a mentoring process, but this failed. Clearly, the responsibility of the leader at this point was an intervention for the good of the group and, by association, for the overall and long-term good of the individual and the organization. The interventions began with a performance review interview that included specified and agreed performance standards and outcomes.

Much learning does not teach understanding.

Heraclitus

The unit supervisor monitored both the performance level of the investigator and his interactions with the unit members. The supervisor was, in fact, operating in a consultative role to the individual, the team, and the organization. The investigator required clear and immediate behavior modification to correct the behaviors that the group found unacceptable.

Further, these behaviors were unacceptable to the organization in that they did not meet the level of performance required of a member of the specialized unit; they were counter to the stated and agreed values of the organization.

The result of this consultative intervention was that the inadequate performance of the investigator was resolved; this ensured an acceptable level of team performance to the organization's standards.

Intentionally Blending Roles to Increase Effectiveness

As noted in the example above, situations occur where it is important to accomplish the goals of two or three of these roles. These interchanges are more complex.

Consider the situation of an employee named Manuel, who recently lost his brother in an automobile accident. Some situations require greater complexity. It may be more effective to begin the conversation with role-free communication, with a question such as, "Is it possible you might join us Saturday for that round of golf we have been meaning to have?"

Then, as the conversation progresses to more personal material, an appropriate intervention might be a counseling response: "I can understand how you are finding it difficult to get into doing your shift this coming week because of the recent loss you have experienced in your family."

Then, intervene with a consultative intervention by exploring options with Manuel about how to deal with the grief: "I think I can arrange for Bill and Sue to take your shift next week, if you would like that. The unit members could cover your time off. I also know a psychologist with whom you might want to talk, in confidence, about your loss, if you want his number."

Manuel needs time off work to spend with his family. Caring about his pain by giving him time off will likely be of great value to him. He is an employee who likely will not betray or disappoint the leader and likely will defend the leader when others may be unfairly critical.

The creative combining of the three leadership roles can provide greater freedom of choice in responses to another person. By changing roles, role-shifting demonstrates the value placed on people by the leader.

The justice and public safety environment offers a unique challenge for leaders to undertake. Previous pages examined how a new hire or an applicant needs to be approached through the three different roles, to effectively integrate him or her into the new culture and assist the person to function effectively among peers. Although there are unique differences between and among the cultures of various justice and public safety agencies, the primary tasks at hand are fairly consistent across these cultures.

Policing, as in many other justice and public safety professions, differs significantly from many occupations in that the new hire, applicant, or seasoned officer must also be able to exercise these same role-shifting skills with the general public. As community leaders, intervening agents, and problem-solvers, the police must be able to utilize these skills to deal with the many complex conflicts they are called upon to mediate daily.

The ability of the officer to recognize the appropriate role and to utilize and shift into that role will greatly influence the success of the intervention and proposed resolution. Most people have heard the term “rookie syndrome.” This can often be attributed to the fact that junior officers’ role-shifting skills are not yet exercised and developed.

Often, these new hires are rigid and lack the ability to style-shift, role-shift, or skill-shift. They therefore rely on the hard letter of rules, regulations, and laws to help them make their decisions, especially if their field-training officer oriented them with a traditional “boss” mentality. This can lead to an inappropriate response in many situations that, in turn, can lead to dissatisfaction and complaints on the part of the public or fellow officers.

A unique challenge for the police leader is to assist all officers in the organization to learn role-shifting skills that can be appropriately applied in their day-to-day public interactions. The better that all officers are able to develop and demonstrate these skills, the fewer public complaints will be received, related to inappropriate officer response to incidents.

This coaching of officers’ role-shifting abilities in various situations must be passed on by their supervisors in the field, which means these supervisors must themselves possess the knowledge and skills of role-shifting.

How Role-Shifting Communicates that You Value Others and Builds Positive Culture

The critical difference in Transforming Leadership is that it attempts to meet organizational objectives and, at the same time, builds teams and communicates the value of the individuals in each interchange. In fact, one of the organizational objectives in an organization led by a Transforming Leader is to communicate the value of people to co-workers and followers—and encourage them to understand and communicate that same value to others.

That creates a value-driven organization that lives and breathes what it believes. This positive culture encourages and nurtures the development of people that, in turn, can promote well-being, creativity, and productivity of work groups and organizations.

Compare this vision with that of the rigid, role-bound bureaucratic manager who responds mainly “by the book” and who does not “flex” self or procedures for the sake of people.

Many justice and public safety organizations tend to function, based on the organization’s book—often known as the standing orders, the procedures manual, or the regulations. These documents attempt to deal with every possible manner of procedural or administrative circumstance that may arise in the course of service delivery. The bureaucratic manager often uses this type of publication as a safety net. Decisions are defended on the basis of, “It’s in the book.” Demoralization occurs when people are treated in this depersonalizing manner.

Such was the case when one police supervisor was due for transfer. The supervisor’s current assignment was administrative. Aware that a transfer would probably occur shortly, he contacted the department’s personnel officer. During the discussions, it was agreed he should not return to duties as a patrol supervisor, because he had had two previous postings in that position.

Because this was a relatively large police organization, many other options were available. He was seeking a new challenge. Shortly after this interview, the supervisor received a phone call from the acting personnel officer who informed him he was being transferred to a patrol supervisor position. That was exactly what he did not want.

The reason given by the acting personnel officer was, “There’s a hole out there that needs filling and you’re available, so you’re going.” Obviously, this impersonal approach was not well received and failed to make the highest and best use of the supervisor’s motivations. The supervisor was demoralized, unmotivated, and felt that in his next assignment, he was just going to do the job—and no more.

By contrast, leading others in the way we would like to be led—by considering them and even asking them how we can respond to meet their needs—is leading by the Golden Rule.

To increase the complexity and therefore the effectiveness of the leader’s responses, use the communication role to establish friendships and develop relationships; the counseling role to

resolve personal, interpersonal, and performance/morale problems; and the consultative role to implement team or organizational interventions.

The Importance of Being Genuine and Respectful when Acting in Various Roles

Most people prefer a leader who is a genuine person at all times and who treats them as individuals. Sincerity and respect are key qualities to convey in all three roles. If a person is genuine and respectful when attempting to communicate, counsel, or consult with someone, his or her credibility will increase almost automatically.

Making statements that clearly identify your own personal opinions and feelings can encourage others to see that this person is approachable, not role-bound, and that he or she can make mistakes, learn, and develop.

This genuine and respectful attitude and approach communicates the qualities of honesty and humility. Even when exercising difficult leadership authority in stressful situations, it is essential to continue to communicate this kind of humility, a willingness to serve, and a willingness to be wrong. By communicating these qualities in language, tone of voice, and actions, others will feel more respected and will have a greater sense of trust and respect.

Specific tasks are appropriate in each role. Achievement of these three sets of tasks requires the three sets of skills for their accomplishment. These tasks are summarized in the next section to further explain the complexity and potential in style-shifting, role-shifting, and skill-shifting.

Role-Shifting: The Tasks Inherent in the Three Roles

The relationship among the three roles (or modes of functioning) and the tasks in each of the three roles are illustrated in the style-shifting chart. The tasks outlined are typical but not exhaustive examples for each role. Achievement of each requires practicing the set of skills appropriate to that role. Understanding that these tasks are often necessary to facilitate the development of people and organizations is another step toward exerting a transforming influence.

Role Rigidity Obstructs Leadership Effectiveness

With practice, however, the increased ability to shift roles gracefully and appropriately will assist in meeting the challenge of constant change and complexity in organizations, with groups, and with individuals—at work or at home.

A parent who cannot become a friend to his child is an all-too-common situation. An overly friendly boss can lose credibility when it comes time for confrontation. Trying to act in the consultative role when others are not asking for it or expecting it can cause others to see the leader as overly officious or high-minded.

With practice, however, the increased ability to shift roles gracefully and appropriately will assist in meeting the challenge of constant change and complexity in organizations, with groups, and with individuals—at work or at home.

In addition, more appropriate interventions with individuals, groups, and organizations can be better understood by using personal style theory. Once a person has internalized a clear understanding of the theory, he or she can learn to better “read” the style tendencies of people, teams, and organizations.

Appropriate Shifting of Roles and Typical Tasks

Communication

B	C
I	A

To facilitate personal and relationship development

- Developing trust
- Sharing fun times
- Relaxing together
- Appreciating and attending
- Facilitating two-way, mutual listening
- Showing interest and understanding
- Getting agreement about how to communicate better
- Being assertive and respectful at the same time
- Encouraging, validating, and rewarding others
- Making the work more meaningful and less lonely
- Understanding personal styles of others
- Shifting your style to develop versatility
- Solving simple, external problems
- Challenging others to develop

Counseling

1	2
3	4

To facilitate problem management and conflict resolution

- Problem management and solving
- Specifying internal problems
- Developing deeper trust
- Specifying personal problems of followers
- Setting goals
- Exploring alternative strategies
- Action planning for problem management
- Confronting low performance
- Giving direction when appropriate
- Mediating inter-personal disputes
- Negotiating inter-personal contracts
- Understanding the developmental levels of others
- Adjusting helping approach based on these levels

Consulting

1	2
3	4

To facilitate team and organization development

- Developing more credibility and organization-wide trust
- Specifying internal problems of the organization
- Specifying the vision and purpose
- Communicating organizational goals, values, and norms
- Building organizational culture
- Selecting and training appropriate people
- Building effective work teams
- Evaluating and researching
- Forecasting changes required for success
- Adjusting course based on these forecasts
- Being open to innovations and opportunities
- Understanding the stage of the group/organization
- Adjusting approach based on stage of development

Skill-Shifting for Greater Versatility in Leadership Roles

Skills #53 and #54. Intentionally Assessing and Shifting Skills

Assessing the skills appropriate to a particular situation is relatively easy, if you know what role is appropriate in the given situation or with a particular person or group. The following examples will help clarify how this skill-shifting approach works.

Shifting into the Communication Role

This example concerns the CEO of a business who was building his executive team. He rarely played the consultative role because he did not have the skills to do so. That was not his fault. His MBA had taught him analytical skills he could apply to managing his company well, but he was not taught the skills he needed to build a team, to work on designing and developing a better organization, and to do strategic planning and implementation.

This scenario is common, particularly in justice and public safety, where individuals climb the corporate ladder based on technical or operational experience and knowledge, rather than leadership skills.

It has been shown in many writings that as a person moves up in the organization, the need for technical skills decreases and the need for interpersonal skills increases. Unfortunately, many organizations continue to promote on the level of technical or operational expertise, with little regard for the complex set of interpersonal skills required at the higher levels.

Because the CEO worked with an executive coach, he had the opportunity to see all three sets of skills being modeled. Over lunch, the coach discussed, in a very sharing way, how difficult it was for him to develop the skills and apply them consistently in his own life and business. He shared with the CEO some ways that he himself failed to use what he knew.

Learning by experience often is painful – and the more it hurts, the more you learn.

Ralph Banks

The CEO was relieved and saw the coach as being more humble and approachable and less the “expert” he had imagined him to be. The coach intentionally shared his mistakes and shortcomings with the CEO to move the relationship into greater intimacy and mutuality. They were in the very mutual communication role together over lunch and the coach became more “real” to the CEO. This was appropriate and a natural development of the personal side of the relationship.

Shifting into the Counseling/Coaching Role

Then, in the afternoon session with the CEO and his senior vice president, who was not functioning up to the CEO’s standards, the executive coach shifted into the counseling role. He asked both parties for their permission to act as the problem-manager/mediator in their scheduled conflict-resolution encounter with one another.

But it's not just learning things that's important. It's learning what to do with what you learn and learning why you learn things at all that matters.

Norton Juster

As each voiced his disappointments and concerns with one another, the coach acted as a mediator to facilitate two-way communication and to ensure the problem-management process was engaged. The coach also functioned in the closely related counselor role, to ensure each party understood and took ownership of some behaviors in which each engaged that were not effective.

Some of the unresolved issues that had been troubling their work and personal relationship for years were clarified and resolved.

After about an hour, when everyone had finished talking, the CEO and his senior vice president said something very strange. They confessed they had never really talked with each other before. This is all too typical of many business and marriage relationships. People just do not have the skills to make it work and do not always apply the skills, even when they do have them.

Shifting into the Consulting Role

In the late-afternoon session, the coach spent 2 hours with the executive team to conduct the monthly executive review with the Continuous Improvement Team members. The CEO chaired the meeting, with the coach there to assist him in developing his team-leadership and meeting-facilitation skills.

Before the meeting started, the coach enlisted agreement that he would function, for the most part, in the consulting role for this meeting. Everyone wanted to learn the team-leadership skills because they all had to go back to their functional teams and lead their own meetings. The group worked with three agendas at once.

1. Conducting the meeting
2. Providing a training session on how to run better meetings and lead better
3. Accomplishing business-related tasks

Training, learning, and accomplishing business-related tasks needed to occur simultaneously.

Notice that in the preceding chart, the tasks under each of the three roles require the use of the skills to do the tasks well. These tasks are the work of Transforming Leadership. The skills required to perform these tasks are the three sets of skills that were the focus of the previous three chapters.

All the skills build upon one another, sometimes overlap, and at other times are used separately, intentionally.

Recognizing and Facilitating the Stages of Organization Development

TL Skill #55. Recognition of Organization Developmental Stages

In this section, we examine the developmental stages of a team or organization and the skills appropriate to each stage.

Stages of Development in a Team or Organization

*A dream is just a dream.
A goal is a dream with a plan and a deadline.*

Harvey Mackay.
Thanks to Brad Hanson

Understanding stages of development is beneficial to a leader because it enables leaders to accurately assess the stage at which a team or organization is currently functioning. It also facilitates clear planning for the next steps of development that need attention. Without the ability to assess stages of development, the following mistakes often occur.

- Trying to build teams before goals are clarified
- Setting goals and attempting strategic planning before there is a clear vision and purpose in the minds of the people involved
- Specifying programs to achieve results before identifying specific, measurable goals and objectives to be accomplished

To be a leader who can demonstrate versatility, it is useful to utilize some kind of model to understand the development of groups and organizations. There are various models for assessing the levels of development of a group or organization; some are complex and others are relatively simple.

Of course, in reality, events overlap in each stage but the details of the five-stage model presented below will help map the territory of group and organization development and thereby help people respond more effectively as leaders.

Introduction to the Five Stages of Group and Organization Development

Stage 1. Design, Orientation, and Commitment

This stage complements what Adizes (1988) describes as the “courtship stage” in his book, *Corporate Life Cycles*. Orienting people to the entrepreneurial, inspiring, or ennobling vision, values, and goals of the organization inspires them to commit themselves to the task of achieving the vision—all critical factors in Transforming Leadership.

*Whatever you can do – or dream you can – begin it.
Boldness has genius, power, and magic in it.*

Johann Wolfgang von Goethe

Informal introduction and orientation processes are appropriate at this stage. These can involve retreats or the “whisper-in-the-ear” approach, where successful group members act as ongoing mentors in the orientation, coaching, or training processes.

People usually want to know how they can succeed in the organization or group when they first enter it. Those who meet this prime need are likely to be heard most thoroughly. Often, some kind of emotional experience needs to occur for an orientation courtship to be effective. Some companies have effectively created their corporate cultures with their executives at retreats in remote places, where the company’s norms, values, beliefs, and philosophy were introduced in both a formal and an informal fashion.

Commitment by a member to a group or organization is achieved to the extent to which the neophyte finds the stated purpose, philosophy, and goals of the organization consistent with his or her own. The closer the new member’s position is to the group’s values and beliefs prior to joining, the more likely there will be a relationship involving social identification with the group and a bonding effect. Just prior to commitment, a new member often experiences a sense of: *I feel like I belong here.*

This sense of belonging would appear to be a critical factor in attaining the level of commitment required for the achievement of a highly developed corporate culture that leads to exceptional achievements.

Stage 2. Making the Transition: Overcoming Resistance and Obstacles

This stage is similar to what Adizes calls the “infancy stage.” Even though a person has psychologically “bought into” a team or organization at the end of Stage 1, there has not yet been a real investment of self, time, energy, planning, envisioning of achievements, and sweat to match dreams.

Management means helping people to get the best out of themselves, not organizing things.

Lauren Appley

In making the transition to full involvement, team members need to be personally involved in formulating some of the general goals and action plans that will later result in programs that will be implemented and evaluated. People also need to be recognized and rewarded in ways that are personally meaningful—and this rarely happens because people are rarely asked what rewards and recognitions would be meaningful to them.

During this transition stage, where each member commits to general goal-setting and to specific objectives, resistance and obstacles often rear their heads. Many people will commit themselves to lofty goals and agree to achieve objectives, but when they show up at the next meeting—often held two or more months later—they likely will not have achieved what they had intended. The manner in which leaders handle people during this critical stage can set the tone for failure or success.

They say that time changes things, but you actually have to change them yourself.

Andy Warhol

It is also at this stage that the distracting or withdrawn team members will often surface. This is the time when some of the individuals who said they “bought in” to the purpose and philosophy of the team or organization often unwittingly reveal other intentions or priorities. Conflict ensues, feet drag, and some members have difficulty becoming productive.

Resentment can develop on the part of those who are productive. Some models refer to this as the storming stage of team development. If the leader does not facilitate the team or organization through this stage, the team likely will never move on to accomplishments that fulfill the vision that the leader believed was shared by all.

At this stage, when goals are set and objectives cast as commitments, leaders who facilitate further development will take actions such as confronting, counseling, and coaching (or dismissing) poor performers, resolving group-member conflict, and working through cross-functional team clashes or confusions. Leaders will refuse to tolerate the opposition or undermining of corporate culture that is valued.

If the leader allows conflict and tension to continue to the point of undermining the potential effectiveness of the team or organization, he or she is either knowingly or unwittingly participating in its demise. If leaders intervene swiftly and effectively at this time, however, great potential lies ahead in the working stage.

Stage 3. Doing the Work of the Group

Adizes calls this stage the “go-go” stage. Others have referred to it as the performing stage of team development. When individual resistance, team member conflict, and inter-team clashes are for the most part handled, team members can get on with achieving the vision with a simultaneous sense of relief and enthusiasm.

When this stage begins, people often sense it. It is a pleasure to work at a place and with a group where unfinished business does not pile up under the carpet. Leaders are respected when things can move to this working stage; when energy is released, learning and creativity are unleashed.

Most people never run far enough on their first wind to find out they've got a second. Give your dreams all you've got and you'll be amazed at the energy that comes out of you.

William James

When problems are encountered at this stage, the team or organization has already developed systems and approaches to deal with many of them effectively. New programs are launched, new systems are put into place, and there is a fresh sense of pride in being part of an effective team and organization.

In addition, several other important things occur during this stage. Members have become acquainted with one another; they are more familiar with one another's personal and work styles, strengths, difficult areas, reactions to stress and pressure, and tendencies to lead or follow.

This familiarity can breed performance and fine-tuning of the team's efforts. Job descriptions can also be renegotiated and rewritten into working agreements, based on expressed needs for change or newly recognized talents of group members in areas of specialty previously unknown in Stage 2.

Stage 4. Making the Transition from an Entrepreneurially Run Organization to a Professionally Run Organization

This stage is similar to what Adizes calls the “adolescent stage.” Typically, this is the most difficult transition to make because the senior leader has to make great changes to establish financial, information, marketing, sales, and quality improvement systems that tax their current knowledge and skills limits. This is when the senior leader must learn to work more on the organization and not so much in it. Teams are developed and learn to function well, cross-functionally.

They also learn to communicate with clients or citizens so that they can answer concerns well enough to demonstrate they care and will deliver what is needed. Many organizations fail at this stage because of what Adizes calls the “founder trap”—where the senior leader (or in business, the owner) cannot delegate or accept input from others and who is often unwilling to do the proper planning and implementation that must pave the way to larger-scale success.

The founder plays a role of additional importance in that he or she has significant influence on the creation of organizational culture. According to Jones, George, Hill, and Langton (2002), the senior leader’s “personal values and beliefs have a substantial influence on the values, norms, and standards of behavior that develop over time within the organization.” Where the leader does make it through this stage, the organization becomes a leadership organization.

Stage 5. The Mature, Flourishing Organization

Adizes calls this stage the “prime stage.” There is a balance among innovation, planning, operational implementation, and integration of systems. The ability to learn quickly from mistakes and to correct course based on facts is greatly enhanced. A key feature of the mature company is that it is wise, anticipates and tests the accuracy of predictions regarding future trends, and is on the growing edge of creating and responding to new programs and providing new services. This stage represents a fully functioning learning organization.

In today’s police organizations, a relatively new phenomenon is becoming a part of every community’s policing efforts: the trend toward greater public accountability, interaction, and participation in police efforts. There is widespread implementation of police–community liaison organizations in which the police and the citizens form an organization of sorts to examine, address, and plan police response to community issues.

In today's police organizations, a relatively new phenomenon is becoming a part of every community's policing efforts: the trend toward greater public accountability, interaction, and participation in police efforts.

This new partnership relationship between the community and the police is challenging the abilities of the police leaders in nurturing this new "organization" through the above stages of a developing organization. Many organizations are in Stage 1 (design, orientation, and commitment).

Both the police and the community are exploring how they can work together to develop a cohesive and productive working group. Some of these organizations have progressed to Stage 2 (making the transition: overcoming resistance and obstacles).

This is where the community liaison group has its greatest challenges. There can be great reluctance on the part of many officers to embrace an organization where the general public has a more significant role in shaping the objectives and goals of the police. There can often be a lack of trust or passive resistance to the successful implementation of this organizational structure and its goals.

Perhaps one of the greatest challenges for police leaders in their communities is assisting their officers in becoming functioning, participating, and contributing members of this kind of new organization. In police departments where neighborhood policing is being initiated, more officers are living in the cities in which they police, are more involved in their community, and have already overcome the arm's length approach to interacting with members of the community.

Learning from feedback (both positive and negative), celebrating success, and planning for new levels of achievement can all have a powerful impact on how people experience their membership in organizations and teams. Because developing a leadership organization is such an important part of the preparation for building a learning organization, let us look at the 10 steps involved in developing teams and organizations.

TL Skill #56. Facilitation of the Organization Development Stages

Ten Steps in the Process of Developing a Team or Organization

The 10 steps in developing a team or organization are examined in detail so you can gain further insight into the nature of the way groups and organizations develop and how you can act as a catalytic agent to make this development occur.

Step 1. Solidifying and Communicating the Mandate

The mandate is the official purpose of an organization that empowers the organization and the executive leader to have specific powers and limitations. This step of team or organization development requires the leader have this mandate with some distinct authority to proceed with

a position of power to decide, power to move in certain directions, or a vision or mission that has the sanction of an official body.

For example, only when a college president has a mandate from the board or other governing agency to provide a certain level of quality and scope of instruction may he or she proceed with clarity and authority. Furthermore, if an entrepreneur were to start his or her own company, the government of most free-world states would give that person the right to exercise a self-decreed mandate: to make money by engaging in free enterprise.

It is often necessary and many times desirable that there be a clear mandate, (from “on high,” as it were), to proceed without coming into conflict with the purpose of the organization or authorities in charge of its overall direction or operation.

Volunteer organizations are famous for “splintering,” when a leader feels the need to achieve a personal purpose or create a mandate not in harmony with the larger (officially) mandated vision of the organization according to its constitution. It is desirable to prevent this splintering effect whenever possible by making the mandate clear in the minds of everyone in the group or organization.

Clarity is made possible by publishing the mandate in writing and by initiating an orientation process whereby people understand that going against the mandate will result in their losing membership in the group or organization.

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One private security company has issued a mandate of safety at all levels of the organization. Irresponsibility toward anyone’s safety is not tolerated. If, for example, an employee of the company is caught speeding while driving a company vehicle on the freeway, the result is known in advance to be immediate dismissal.

In summary, the mandate explicitly states what the purpose of an organization or group can and cannot be. It specifies what is acceptable and what is not. It spells out in no uncertain terms how things will be and often remains quite stable and inflexible throughout the life of the organization, as in the constitutions of various government bodies and non-profit organizations.

The mandate comprises the assumptions, fundamental definitions, and rules everyone is required to know and follow when dealing with one another and with the organization. Some organizations or groups call the mandate their terms of reference. Some governments call their mandates a constitution.

Some leaders resist creating, publishing, communicating, or standing up for a mandate because it can seem to some people to be authoritarian or rigid. It does not have to be, however, as in the case of a constitution founded upon the democratic principles of freedom of speech, freedom of

worship, freedom from discrimination, etc. A humane mandate, built upon the assumption that people are valuable, will be a solid foundation on which to build a group or organization.

Consider the following sample mandate statement of a Community Services Agency.

Our mandate is to provide support and develop community-based social services mostly to needy members of the community. We do not compete with existing governmental or private agencies, but we strive to supplement their services to fulfill unmet needs where such government services fall short due to funding, staff shortages, or people's inability to pay for such services.

If the leader can help a group or organization to clarify and communicate its mandate effectively to its members, he or she will likely prevent all sorts of misunderstandings, misdirection, and conflict from emerging and destroying the integrity and cohesion needed for further development.

For example, consider the mandate of the newly formed Department of Homeland Security.

The Department of Homeland Security was created with one single overriding responsibility: to make America more secure. Along with the sweeping transformation within the FBI, the establishment of the Department of Defense's US Northern Command and the creation of the multi-agency Terrorist Threat Integration Center and Terrorist Screening Center, America is better prepared to prevent, disrupt, and respond to terrorist attacks than ever before.

Excerpted from: <http://www.whitehouse.gov/homeland/>

Compare the above with similar legislation (2002) that gave a governmental mandate to accelerate and expand Canada's anti-terrorism plan.

The Government of Canada Anti-Terrorism Plan has four objectives.

1. Stop terrorists from getting into Canada and protect Canadians from terrorist acts
2. Bring forward tools to identify, prosecute, convict, and punish terrorists
3. Prevent the Canada-US border from being held hostage by terrorists and impacting the Canadian economy
4. Work with the international community to bring terrorists to justice and address the root causes of such hatred

Here are comments from Lawrence MacAulay, former Solicitor General of Canada, and John Manley, former Minister of Finance.

"As a nation, we must be prepared to ensure our safety and security. This legislation will provide our law enforcement and national security agencies with additional tools to

identify and dismantle terrorist organizations and prevent terrorist acts," said Minister MacAulay. (Griffiths, 2001)

"These measures are in keeping with the actions of our allies," said Minister Manley. "They are an important element in Canada's commitment to join its international partners in confronting and stamping out terrorism around the world." (*Daily News*, 2001)

Now that we have examined the nature and scope of a mandate, let us clarify purpose, mission, and vision.

Step 2. Clarifying Purpose, Mission, Vision

As a next step in this first stage, a purpose statement is a further specification and extension of the mandate statement. The terms purpose, mission, and vision are often used synonymously to refer to a group's or organization's reason for being.

*Most of the change we think
we see in life
Is due to truths being in and
out of favour.*

Robert Frost

Some leaders, such as Dr. Martin Luther King, have a dream. (Dr. King's dream was an inner vision driven by passion and commitment.) Leaders communicate their dream to their group members. Others have a purpose statement that is perhaps less fiery but that nevertheless provides overall direction and reason for being to the members of a group or organization.

Assisting group members to achieve understanding of and consensus around a purpose statement—and what the statement means—is a critical prerequisite to gelling the group into one functional entity. Getting people to buy into the organization's reason for existence, as a part of their own reason for being, results in instant commitment.

For example, it was not hard for Douglas Aircraft plant workers to arrive at work-group consensus about what their purpose was at the beginning of World War II. The employees realized they were an absolutely necessary part of a war machine that, if they built it fast and well, had the potential to save their own lives and the lives of their children.

The buy-in regarding the purpose of justice and public safety organizations today is not nearly as clear as the reason for Douglas Aircraft's existence during World War II.

Policing, for example, is in a state of massive flux. The very purpose of policing is being questioned over and over. From the Vigils of the 1st Century BC in Rome through the Guardians of the Peace of 13th Century England to the Bobbies of Sir Robert Peel in the 19th Century, the role of the police in society has constantly changed.

What is the purpose of the police organization?

We know what we are, but know not what we may be.

The challenge facing the police leader is that there are as many different opinions within the organization as outside it. Many police organizations have seen their efforts to achieve a purpose of collaborative policing with their communities resisted strongly from within. The perception of those within is that the purpose of the organization is to provide services as a separate and distinct entity, not joined in a collaborative effort.

The executive of one large police organization spent considerable time, effort, and funding to develop a mission statement that could and would be embraced by the community and the members of the department. Instead, the mission statement became the brunt of jokes by the police officers. They resisted it so strongly, eventually the mission statement was scrapped and a new one developed.

As another example, since the terrorist events of 9/11, the purpose and mission of the CIA and the FBI in relation to providing protection for the homeland was so called into question that the United States government approved the development of Department of Homeland Security.

On March 1, 2003, approximately 180,000 personnel from 22 different organizations around the government became part of the Department of Homeland Security—completing the largest government reorganization since the beginning of the Cold War. The government claims on its home page that, as a result, “our efforts to defend the homeland are more effective, efficient, and organized.”

The concept of visioning and developing purpose statements and the process of getting people to buy into or willingly enlist in them can be utilized at each level of any justice and public safety organization.

Recently, the human resources unit of a large organization entered into this process. This organization, like many others, was struggling to define the role of a human resources unit. The complexities of human resources functions—hiring, training, entitlements, performance management, and labor relations—had left many people unclear as to their role. Also, a major restructuring initiative within the department had resulted in significant downsizing. There were numerous personnel changes as the team-building process began.

To assist in building this new team, an off-site session was held to establish, within the group, their beliefs in relation to their role in the organization. The session was held at the behest of the group members because they sought clarity—not in the nuts-and-bolts of day-to-day operation, but in the global vision of the organization and the unit leader.

The more elaborate our means of communication, the less we communicate.

Joseph Priestley

This group was comprised of senior supervisors chosen for human resources because of their experience, skills, ethics, and demonstrated abilities. They needed consensus surrounding the purpose for which they worked each day.

By the end of the session, the group had developed a vision statement that the members unhesitatingly rallied behind. Consensus was achieved and the vision statement was adopted as describing how they wanted the organization and the world to see the new human resources unit. They expressed feelings of satisfaction in that they now had direction where they could focus their energy.

Vision Statement of the Human Resources Unit

We are a values-based service provider, widely recognized as a leader in the management of human resources, in support of a progressive, effective service to the community.

Below is an example of a purpose statement taken from a community services agency.

Purpose Statement of the Community Services Agency

Our purpose is to enrich the lives of community members—especially the poor, provide for their basic material needs, offer them personal development opportunities they otherwise would not receive, provide training, offer opportunities for the expression of volunteer services and financial contributions to community members.

Vision and Purpose of a Police Department's Organizational Improvement Team

Vision Statement

We are a diverse and representative team, recognized at all levels of the organization as being efficient and effective at resolving problems, implementing positive change, and developing leadership. We make the XYZ Police Department a better place to work.

Purpose Statement

The Organizational Improvement Team identifies and responds to concerns in the workplace, creates solutions, facilitates positive change, enhances communications, and promotes and develops leadership for the XYZ Police Department, resulting in a healthy work environment and excellence in policing.

Great ideas often receive violent opposition from mediocre minds.

Albert Einstein

As you can see from the above statements, there are many ways to craft language that can generate consensus and enlistment. The important thing is that the people who will be executing the vision and fulfilling the purpose of an organization have understanding of—and ideally have a part in—creating and renewing such foundational agreement.

The next step in the process of developing a team or an organization is another consensus-seeking and consensus-building activity that Transforming Leaders learn to facilitate—or they bring in professional facilitators to build consensus and team or organizational spirit that results in measurable success in achieving the agreed vision and purpose.

Step 3. Specifying and Gaining Consensus about Philosophy, Values, Beliefs, and Norms

This next step in the first stage of developing a team or organization is also very important. Without a similar philosophical orientation, there really cannot be a cohesive group or organization. A group's philosophy is comprised of values (priorities and importance) and beliefs (assumptions about what is true, good, false, bad, etc.).

In addition, without agreed norms (extension of values and beliefs—agreement about ways of treating people, solving problems, and making decisions), people may find they have frequent clashes with one another; teams or organizations will likely either live in disharmony and lose productive energies or fall apart.

In one organization, staff members were working with a base of conflicting values, beliefs, and assumptions. They were at odds with one another, with resulting harm to young people in the organization where a mandate was in place to rehabilitate them. In this example, about half the correctional officers in the juvenile correctional facility honestly believed their purpose was to attempt to facilitate the development of juveniles, with the eventual hope of rehabilitating them as law-abiding, self-respecting citizens of the community.

The other half of the staff referred to the residents as “slugs who’ll never amount to anything” and treated them with strong disrespect. Staff members fought bitterly with one another and were in conflict daily about this issue of the worth of the young, dangerous offenders in custody. Staff turnover was high because management was blamed by both sides for “hiring a bunch of idiots.”

The leaders of the juvenile facility did not attend to this issue of specifying and communicating purpose when they hired the correctional officers. They did not even ask them or their previous employers their purpose for working with juveniles. The juveniles received these two conflicting messages on a daily basis.

As a result, program efforts were undermined and discipline procedures were implemented with entirely opposite spirits—one with a spirit of discipline and the other with a spirit of punishment. The end results were disastrously in favor of the punishing officers’ predictions.

At a point of crisis, after a riot during which the youths damaged the facilities extensively, management arranged for a team-development process, first with the management group, then with the whole staff. The process started with an examination of the mandate that was in the contract the agency had signed with the government funding body. It then moved to creating purpose statements on flipcharts on the walls, until as much consensus as possible was achieved among the group of 28 staff. It became clear it was going to be difficult to move ahead with the next step of specifying philosophy because the conflict in the air was so thick, it turned everyone to ice.

Then the process moved into clarifying the organization's philosophy, values, and norms about how to treat kids and staff, the worth of kids, and the approach to discipline and control. The frustration was so great among those with a punitive attitude that eight of the "old-school, old-guard" staff quit within days.

New staff was soon hired. These were individuals who bought-in to the juvenile center's philosophy. Stress and conflict levels decreased immediately. The organization began to gel into a cohesive group of people of the same mind. Within a few weeks, consistent evidence of positive impact on the juveniles was observed. The organization was then in a position to re-evaluate its general goals and objectives.

Police/community organizations face their greatest challenges in this step. Examining the philosophy, values, beliefs, and norms of the police officers versus the private citizens can, on the surface, create great levels of anxiety.

The deepest human defeat suffered by human beings is constituted by the difference between what one was capable of becoming and what one has in fact become.

Police beliefs about the public have become altered through time and experience. There is the reality of the jaded views of some officers toward private citizens. Some officers have been street-hardened through the years. There is often an "us and them" attitude.

Ashley Montagu

Likewise, public attitudes about police have developed through experience, rumor, media attention, or fear. Many citizens have a jaded view of "the cops" and a distorted and conflicting media image about what the police are like. Reality often lies somewhere in the middle.

Breaking down these barriers and developing mutual understanding of philosophy, values, beliefs, and norms is a primary need and challenge in the success of these joint police/community organizations.

Step 4. Formulating General Goals that Meet Needs or Solve Problems

Motivating and measurable goals can be effectively formulated only upon a foundation of clear and agreed mandate, purpose, and philosophy statements that are real to those in a group or organization.

If there is no agreement on the general direction and hoped-for accomplishments of a group, it will not achieve much of what it intends to achieve.

For example, a band is no better than its worst player; a band with a drummer who plays to a different beat should suggest that the drummer go play jazz fusion somewhere else (unless the band's purpose is to play jazz fusion).

If there is no agreement on the general direction and hoped-for accomplishments of a group, it will not achieve much of what it intends to achieve. If there is agreement on general goals, it will be possible to achieve higher levels of success.

The Transforming Leader's job is to assist in the consulting mode, to articulate and translate the aspirations or needs of group members into goal statements that are:

- motivating;
- realistic;
- achievable;
- worthwhile; and
- adequate to solve problems or meet needs.

In the case of the juvenile correctional facility, a subsequent consulting intervention resulted in facilitating a planning meeting that generated a plan to implement the following goals and objectives statements.

Goal #1

We will provide a clean, colorful, and socially supportive environment that will encourage the development of residents at the spiritual, intellectual, physical, social, emotional, and creative arts levels.

Action 1

Staff Team E (educators) will implement the Skills for Living Program for life-skills development from January through April of this year.

Action 2

Staff Team P (physical plant maintenance staff) will paint this ugly place during the next month in colors the kids have a say in choosing.

It is clear from the above example that general goals provide foundational clarity for formulating specific objectives. Clear general goal statements are the soil from which grow specific implementation plans and commitments.

Step 5. Specifying Objectives

Objectives are statements of commitment to implement action plans with a name and a date attached. They are highly specific in terms of defining what will be accomplished by a certain date. They are based on general goals that reflect known and perceived needs or problems. These general goals are based on strategic imperatives (overarching issues more urgent and important) and strategic initiatives (important issues but not critically urgent).

"In preparing for battle, I have always found that plans are useless, but planning is indispensable."

Dwight D. Eisenhower

To facilitate the achievement of specified objectives, each objective can be recorded on a simple sheet of paper during staff or planning meetings. These sheets can become the minutes for any meeting; they can, in turn, be reviewed and evaluated at the next scheduled meeting. Each team member with an objective to achieve can set up a program of steps to achieve it and get ideas from team members for the effective implementation of the program plan.

Staff meeting minutes need to show that each person at the meeting is committed to accomplishing a specific objective by a specific date and agree to give a report on that date about the results of his or her effort. This kind of specific planning and recording by each member of a group or organization has the effect of enlivening meetings, setting up achievable targets, and meeting the needs of staff members to be recognized for their accomplishments.

It also allows them to gain assistance and support when their efforts fail. In fact, it can create a climate of taking reasonable risk in attempting new solutions to problems. This often results in creative thinking and planning that makes the crucial difference.

Step 6. Planning Action Steps to Make Programs or Initiatives Happen

Programs are objectives translated into the smaller, logical, more realistic steps required to achieve the desired objectives within certain timeframes. Planning requires experience in the area of the expertise being exercised.

- If the steps are too large to be achieved, people will become discouraged by failure.
- If the steps are too small, people will become bored or fatigued with meaningless repetition.

Steps in programs need to be large enough to be challenging but small enough to be realistically achieved. Failing to plan realistic but challenging steps is the main reason many objectives fail to materialize into action. Unless this step is accomplished thoroughly and carefully, individual or group objectives may never be translated into achievements.

Here is an example of a format that captures what we have outlined above.

STRATEGIC PRIORITY: A 5) Strategic Area: Outcome:		JOB ENHANCEMENT Improve internal training for sworn and civilian staff. Sworn and civilian staff receive ongoing training directed at providing, maintaining, and enhancing the skills, knowledge, and abilities required to do their jobs.			
Strategic Activities		Timeline	Accountability	Resources	Measures
5.1	Re-assess Patrol Training Days	2002 Dec. 31	Staff Development NCO Training Const.		New Training Days model developed and implemented
5.2	Make education program known and encourage staff to use it	Ongoing	OIC Corporate Service Human Resources Officer		Increased use of education program
5.3	Provide in-service training for civilian staff	2003 Mar. 15	OIC Corporate Resources		In-service training
5.4	Standardize guidelines and mandatory training for management and supervision of shifts and work units.	Develop 2003 Oct. 15	OIC Corporate Resources Management Team		All supervisors trained initially; ongoing training provided
5.5	Provide necessary training for civilian staff and volunteers.	Ongoing	OIC Corporate Resources OIC Support Services NCO Community Policing VSU Coordinator		Proper training in place for all civilian staff and volunteers

Abbotsford Police Department. Used with permission.

Step 7. Implementing Plans

Effective program implementation by a team or organization requires follow-through on the leader's part to monitor, recognize achievement, encourage commitment, and reward performance in both formal and informal ways.

Leaders can express the values that hold the society together. Most important, they can conceive and articulate goals that lift people out of their petty preoccupations, carry them above the conflicts that tear a society apart, and unite them in the pursuit of objectives worthy of their best efforts.

John W. Gardner

The consistently successful implementation of a diverse community-outreach recruiting program, for example, could likely depend upon the long-term follow-through of an effective leader who realizes that the power of his recruiting force resides within the skills, attitudes, and motivations of the people who recruit for the organization.

Such a manager will plan regular and meaningful feedback, training, motivational incentives, and various types of ongoing recognition. It may well be that the organization does not possess a formal recognition system for these activities. In that case, the police manager must create informal but valued recognition systems.

This step is likely the most common stage of failure in developing a team focus or direction in organizations.

Often, great effort, with commensurate funds, is devoted to the planning or formulation stage. Forgotten is the importance of facilitating the objectives to an action state where the accomplishment of specified tasks leads to the realization of the organizational strategic imperatives or priorities.

This failure to recognize the implementation step early in the planning stages was acknowledged by Mintzberg (1994) when he wrote, "...Every failure of implementation is, by definition, also a failure of formulation" (p. 285).

For everyone to be a part of learning in a learning organization, once action plans have been implemented it is important to review their relative success and failure.

Step 8. Learning from the Past: Evaluation

Honest and valid feedback to members of a group or organization can either be extremely valuable or destructive. Regular coaching feedback should be communicated by leaders who actually observe the performance of subordinates.

*There are no secrets to success.
It is the end result of
preparation, hard work,
and learning from failure.*

Colin Powell

Much of the anxiety often associated with evaluations can be alleviated by obtaining the subordinates' agreement in advance for such an assessment so that it can occur on a regular informal basis as well as on a periodic formal basis.

One method of beginning the evaluative feedback process is to ask group members to critique the performance of their own work team during team-development or planning sessions. People in leadership positions can also give and receive feedback about positive and negative impacts that occurred as a result of the group's actions or practices.

Making mistakes simply means you are learning faster.

Weston H. Agor

Planning for improved future performance is another event that can occur on a regular basis, as part of Step 8. This step often must be leader-induced because work teams may be resistant to improving their performance when it means they have to work harder. If planning for improved performance will result in an increase in meaningful rewards and recognition, however, greater enthusiasm for such activities can be expected.

It is critical that leaders at all levels support the concept of evaluation through performance feedback. In one large police organization, there was great fanfare for the new performance review system. It was not long before senior management made it clear that this performance review system would not apply to senior management. This news was followed shortly thereafter by a similar expression from the middle managers.

Last, and certainly not least, the supervisors indicated they would not participate in the new program. Without clear leadership to support the importance of feedback for professional development for all levels, the program was relegated to a simple front-line evaluation system that received little support and served little purpose in the organization.

With the support and participation of all the leaders, that performance review system could have created meaningful and powerful feedback and employee-planning and development systems.

*Learning is not compulsory
... neither is survival.*

W. Edwards Deming

To maximize the value of learning from both successes and mistakes, a large city police department initiated a monthly review where any team initiating a Problem-Oriented Policing (POP) or Neighborhood Policing Initiative could come together with other teams to provide one another with briefings about the results of their efforts—and thereby learn from one another. These meetings provided the fuel and the understanding of the potential and power of POP; the police organization saw the rapid expansion of POP initiatives in their own jurisdiction and beyond.

In the early 1990s, they also created an annual Problem-Oriented Policing Conference, which has been attended internationally by thousands of officers who present their initiatives, outcomes, and learning. Those who attend this conference are recognized and rewarded for effort, innovation, and success.

Step 9. Celebrating and Enjoying the Rewards

If genuine celebration can be fostered and allowed to occur, it can seal a group together for long periods of time. Genuine celebration can occur, however, only when there has been some kind of dramatic and hoped-for achievement beyond the commonplace.

The important thing to recognize is that it takes a team, and the team ought to get credit for the wins and losses. Successes have many fathers; failures have none.

Philip Caldwell

If leaders can challenge exceptional performance in only one area and provide opportunity for valued recognition and rewards to come back to group members, there likely will be further commitment to the achievement of other challenging objectives. Rewarding innovation and creativity is another way to promote celebration and recurring high performance.

The following provides a practical example of how one organization conducted a brief questionnaire (using <http://www.SurveyMonkey.com>), which surveyed all members about how they would like to be rewarded and recognized.

When they sent out the link to those who might respond to the questionnaire, they informed the respondents that the Continuous Improvement Team (CIT) would take their opinions seriously and that based on their requests, a new proposal would be drafted and presented to management for possible approval and/or revision. Needless to say, the response rate to the questionnaire was tremendous.

From the surprising amount of feedback received, the CIT found a wide range of ways that people wanted—and didn't want—to be recognized and rewarded. Therefore, they created a menu of reward and recognition options that contained three levels.

1. Recognition for loyalty and service to the organization
2. Recognition of service beyond the call of duty
3. Recognition of heroic or outstanding service or innovation

In addition to the feedback received, the CIT also used two books, *1001 Ways to Energize Employees* (1997) and *1001 Ways to Reward Employees* (1994), to stimulate their imaginations. They then generated a menu of recognition and reward options from which members could choose, depending upon the members' recognition level.

Step 10. Recycling the 10 Steps

It is important to take the team or organization members, as often as needed, through any or all the steps in the process of developing a group or organization. Sometimes it is critical to re-examine the mandate. It may need to be adjusted to respond to changing areas of concern, changing needs of people being served, changing priorities, or the shifting values of those in positions that set the course or fate of an organization.

Intellectuals solve problems; geniuses prevent them.

Albert Einstein

Mandates, however, are perhaps the most stable of all steps in the process. Unexpected change was required in a police agency that, after much research, published its organizational values. The intent was that all values would be accepted as stated.

The organization's members quickly observed, however, that of the values given, the one dealing with "people" was listed last. The interpretation of many was that this meant people were the least important of the values listed. Clearly, this was not what was intended. The organization had to withdraw the published values statement and republish the values with the "people" values statement placed first.

It is most useful to ensure the value of the vision is renewed in the minds of group and organization members on a regular basis. It is also especially helpful to re-assess needs and problems to ensure goals are in line with what is truly important. When failure occurs, it is especially important to examine the appropriateness and workability of objectives and programs.

"Well-Functioning" Is Not Enough: Pressing Toward Transformation

Ackerman (1986) describes the essence of what she calls "flow state leadership in action"—a nontraditional view of organizations as bundles of energy-in-motion:

To increase performance, leaders must be able to release energy that is blocked, to free untapped potential, and to organize in ways that facilitate rather than impede energy flow (p. 245).

The basics of flow-state leadership are in sync with Transforming Leadership. Removing blocks, creating and communicating a vision, empowering and enlisting people, and enhancing performance factors are key to Transforming Leadership.

Teams and organizations that merely run smoothly often fail to grow and creatively adapt to changing demands and opportunities. They often become boring and generally lack an innovative spirit that, if its potential were released, could generate enthusiasm and energy capable of propelling even higher, toward more interesting and rewarding learning and achievements.

The development and transformation of a group or organization into a dynamic and high-performance entity is an inspiring phenomenon to observe and to actively experience.

Therefore, this chapter concludes with an examination of the nature of the transforming process. It begins to explore this relatively new field of how organizations or groups are transformed into dynamic. High-performing ones.

After practicing the skills and awareness assessed in this book as needing further development, you now have an opportunity to creatively apply the Transforming Leadership approaches in your own groups or organizations.

The development and transformation of a group or organization into a dynamic and high-performance entity is an inspiring phenomenon to observe and to actively experience.

An Illustration of Organization Development and Transformation

The following story represents a somewhat unique example of a developing organization and the transformations that occurred. It occurs in the 1960s in Southern California and is a peek into the personal life of one of this book's co-authors, Dr. Terry Anderson.

As an example, from my personal life, five of us were at Manuel's place in Southern California on a hot July day in 1961, practicing rock-and-roll numbers for a dance scheduled for the following Saturday night. We had only been playing together for two years, but were good enough to enjoy playing about 25 different numbers.

People buy into the leader before they buy into the vision.

John C. Maxwell

Our "organization" was a solid group of musicians who had developed the talent to contract to play-for-pay at some local dances, schools, and fairs. Together, we had agreed on a vision of becoming the best band in Southern California—and winning the upcoming Battle of the Bands at the San Bernardino County Fair. (Our competition, little did we know, would be the Beach Boys.)

One evening, after about 2 hours of practice, something new happened that began the process of transforming us into an exciting and dynamic performing group. We were so competent at playing a particular song, we simultaneously forgot to "try." A feeling of effortless flowed, a sense of *having it made*.

Mutual glances and grins spread from member to member, as a fine, clean sound emerged. Other 16-year-old band members would have been green with envy to have achieved this kind of groovy sound.

In jazz slang, we had finally started to cook. Prior to that, all we had been doing was cutting the tomatoes and the celery on the cutting board. It wasn't a bad salad, but it became boring after a while.

But when our performance heated up to the point of excellence, more than 20 of the neighborhood kids (18 of them girls!) often dropped in to listen to us practice.

Then we knew we had transcended the beginner phase. Our band (organization) had become transformed to a new level of creativity and expression of spirit—a spirit of success and freedom that went beyond the commonplace novice performances of our past.

As a result of this new, flowing sound, an unexpected mystique developed around our band: we were among the first to achieve enough recognition to have groupies follow us around to our dances. (Groupies were girls who admired and wanted to date us.)

We used our profits to buy the best Fender guitars, Showman amplifiers, French Selmer saxophones, and a '55 Chevy, a T-Bird, a street rod, a '57 Chevy, and VW van. A cool young culture of dancers and other young musicians developed around our band; these people regularly attended the dances where we played.

But when our performance heated up to the point of excellence, more than 20 of the neighborhood kids (18 of them girls!) often dropped in to listen to us practice.

As our excitement and confidence continued to build, we learned to trust that we could practice nearly any song and glide (or transcend) into that same clean, crisp, competent sound that moved people to dance—and even return to our next performance. As a result, bigger dance promoters began to book us for dances where more than 1000 kids—

and on several occasions, even over 2000 kids—would turn up.

We added some rather simple choreography to our stage presentations (rare in 1963) and became one of Southern California's five most popular bands: Manuel and The Renegades.

As a result of all these factors, we earned exciting new jobs at the Cinnamon Cinder Teen Nightclub. We came in second in the Battle of the Bands at the San Bernardino County Fair—Yes, the Beach Boys won! —and cut several surfing-style records that unfortunately sold well only in Chicago.

The world is divided into people who do things and people who get the credit. Try, if you can, to belong to the first class. There's far less competition.

Dwight Morrow

Those of us who were members of The Renegades went through the design, development, and transformation stages of a team without any awareness of what was happening to us. Our experience was so rich and powerful, nearly all the groups and organizations we have encountered since those days have been pale (and some grim) in comparison.

For years after we disbanded, we felt a sense of disillusionment with other groups and organizations to which we belonged; that included some band members' marriages and certain colleges and universities. No experience ever “transcended the ordinary” or heated-up or creatively cooked the way The Renegades had.

To my great relief, I finally found another hot band with which to play music (The Reactions) during my college years. I still play audiotape recordings that we made at dances at Running Springs Lodge near Big Bear Lake, California.

I came to realize that the same type of experiences and performances that flow from being “on a roll,” “really high,” “on,” or “in the groove” can be achieved inside myself first and then, to an increasing extent, within my family, affiliated groups, and other organizational settings.

Perhaps the trick of releasing the transforming “spirit” in other settings is to learn to transfer the same principles and practices learned in the hotter settings, to the more mundane ones.

- Set up the group or organization properly at its inception—with enthusiasm about a clear vision, a worthy purpose, adequate goals, and shared beliefs, values, and norms.
- Select competent members who genuinely share and buy into the foregoing vision.
- Gain a refined consensus and commitment among the members about the specific purpose, goals, values, and norms of the group, company, or organization.
- Learn to play a series of numbers well together.
- Practice until you begin to “cook” with spontaneous creativity.
- Apply that creative style-shifting power and “flow” you have developed to any number of other emerging situations or problems.
- Stay open to the potential of positive change and a diversity of approaches that demonstrate themselves as appropriately viable—as long as they are consistent with number 1, above.

- Play “numbers” or create products or services that meet the emerging needs or challenges of the times.
- Stay alert to changes in the environment that require a response so that adjustments and developments can be made in a timely fashion.

Celebrate the achievement of goals, recognize the unique contributions of each member, and share in “the take” so that each member receives a portion of the profits from the endeavor. Look to the future for new opportunities.

TL Skill #57. Formation and Facilitation of a Cross-functional Continuous Improvement Team to Process Problems and Leverage Opportunities in the Organization

As will be outlined in Chapter 9 in more detail, this skill is critical to the success of important endeavors to change organizational climate, culture and performance at three levels: leaders, teams and organizations. It is an especially important step if senior leaders in the organization are serious about change and are ready to instill leadership development and build a leadership and learning organization throughout the ranks. A Continuous Improvement Team (CIT) might be compared to putting a turbocharger on an already good engine...increasing its horsepower and efficiency.

Creating a Continuous Improvement Team (CIT) is the equivalent of senior leaders sending a continuously visible signal to everyone in the organization that there will be four fundamental thrusts:

- First, that change will be occurring on a regular basis
- Second, it will *evidence-based (there will be a good reason for it)* and *intelligence driven (root cause problems will be identified and solved)*;
- Third, that major strategic change will from this point forward be intentionally initiated (as often as possible) by a *consensus* amongst credible, caring, and competent leaders; and
- Fourth, that change initiatives once committed to will be monitored and reported. People who agree to initiate such major changes will be held accountable to make them happen to the best of their ability.

The CIT members do not hold one another accountable in a negative sense but rather in a positive sense of supporting those who are having difficulty in moving forward with a change initiative, by recognizing and celebrating the successes of those who have achieved a measure of success. At monthly two-hour meetings, perhaps over lunch, those who have been nominated and have volunteered to be on the CIT simply ask one another to report on the progress of strategic imperatives, strategic initiatives, and change initiatives that they are responsible to achieve or to report on. A CIT member may be reporting on the progress of an initiative for which they are personally responsible, or they may be reporting on initiatives that a supervisor in their functional

area have initiated within his or her team. In any case, no planned change initiatives go unreported or avoid review and support from this group of adept peers.

As a result of a CIT meeting, success and learning insights are communicated in internal newsletters to all staff and when appropriate, positive successes are reported to the public through the local media channels. This makes important, agreed-upon change more visible, credible, important and valuable to those who initiate it and to those who hear about it.

By way of example, examine below the kinds of tasks that a leader who wants to build a CIT might engage in while preparing to kick-start a new team. Here is a to-do list of one Inspector in a policing agency who was planning to launch a CIT in his organization.

1. Meet with Management and get their “buy in” on this collaborative method of organizational change...without their support it can get undermined.
2. Meet with all Supervisors to help them gain understanding and enlist them in the concept of the Continuous Improvement Team.
3. Introduce how it has worked elsewhere and provide evidence of benefits.
4. Send a letter from our change team and Management to all staff (both sworn and non-sworn) explaining the Continuous Improvement Team concept and asking for their nominations for a CIT member from each functional area (nominees are to be approved by unit supervisors before being forwarded to Management).
5. Management approves all first CIT members and announces the team and its purpose to the organization. Management approves of final Team Members because there may be personnel reasons why a person should not serve on a CIT that should not be public information (internal investigations, for example). Otherwise, those who are nominated and are willing to serve, should be the ones to do so, so that it doesn’t appear that the CIT are the “Chief’s Chosen Ones.”
6. A senior Manager sits on the team as a member but cannot be Chair or Co-Chair of the Team. The Team acts as an advisory body to Management. That senior member’s presence is critical to the success of the Team, because swift decisions can be made at each meeting, rather than having to wait a month for management to review and issue before making a decision.
7. Meet with the new prospective CIT members, Supervisors and Managers, and get them up to speed about the Mandate and Goals of the CIT (in the Tool Kit) and help them make the team their own so it becomes their project and process. Management, Supervisors and the CIT must work together for this to be a success.
8. Get CIT members involved as a cross-functional focus group for planning our leadership competency study; then complete the study, report the results to the CIT, and then to the entire staff.
9. Conduct an online organizational performance assessment.
10. Facilitate a meeting where CIT and Management create a plan to address issues that emerge from the organizational performance assessment.
11. CIT conducts a community survey to assess community member concerns using an online survey, telephone surveys and/or community meetings.

12. Report the results of this survey that the CIT conducted to unit leaders, who formulate projects that resolve community concerns and execute organizational strategy simultaneously to reduce and/or prevent crime, whenever possible.
13. The CIT meets monthly for 2 hours to review progress on projects and the progress of the implementation of organizational strategy at the unit levels and proposes various initiatives to support Sergeants to implement strategy at the unit levels (coaching and other kinds of support for teams and team leaders). *This is the “make or break” phase of the CIT.* At this point managers must also be held accountable and be supported by their Boards, and they must support and hold supervisors accountable to complete projects they have committed to. In this way their teams will be recognized and appreciated for the impact they are making on crime reduction and prevention in the community. Once most leaders are successful at even one small project or more, then a new culture of innovation will be alive and will grow.
14. Report success internally in newsletters and externally to the media to enhance the image of our agency in the community and to make it known to criminals that committing crime in our city is not easy and that they are likely to get caught.
15. Celebrate annually and recognize member achievements to raise morale and focus on the positive!
16. Re-cycle the process annually and have the CIT take part in the annual strategic plan review so they know exactly what the plan is because they will help to create it. What people help create they will more likely help to implement.

Successfully creating and facilitating a Continuous Improvement Team requires senior management support and CIT Chair and Co-Chair competence to facilitate team-based problem-solving and decision making, as well as meeting effectiveness skills, and the resolve to deal with real issues that are important to members of your organization and community.

TL Skill #58. Assessment of Leadership Skills to Help Yourself and Others Plan for Further Development

The capacity to initiate and promote the development of other leaders is a much-envied competency that will become more necessary as the bubble of baby-boomers retire and leave supervisory and senior posts vacant. Younger and younger leaders are, by necessity, being promoted into positions of responsibility with less and less experience. Hence, ongoing leadership development as a strategic commitment is more important now than perhaps ever before. These younger leaders must also help new employees get ready for leadership roles and positions because most organizations do not have leadership training and development that is adequate for competence to develop to the point of mastery. In many policing agencies, for example, it is not unusual now to see an officer with 2 years of experience on the street being the Field Training Officer for new recruits. It is critical that these officers know how to help the younger ones and get them up to speed.

Fortunately, effective leadership behaviors can be observed, learned, and transferred to others. These behaviors can be broken down into micro-skills and can be demonstrated, practiced, and

refined so competence can be developed. However, micro-skills are not wisdom. How you go about helping people to integrate the various skills into their personal leadership styles is a matter of practice and experience on the job. Skill competence is not the same as character or ethical behavior. Competence in skills, developing wisdom in applying the skills, and mature character all result in effective and ethical leadership that grows with experience.

We have developed a systematic process that you can implement with leaders in your organization at a low cost. It can often take a year or more to establish an official competency list at an organization. It may take another year or more to get started with some kind of 360 degree feedback system for leaders. In order to build a plan for leadership development the following process was designed to be implemented on an interim basis until a more formalized process can be adopted in your organization.

Six Steps in Helping Others Engage in the Leadership Learning Process

Whether you are a supervisor, manager, coach or mentor, the steps below are specific ones you can use yourself, or recommend to those whom you might encourage or lead toward greater competence. The first three steps below are what this Assessment and Planning Competency requires, and step four through six below is an outline of the skills you would engage in to accelerate skill development on the job, and those skills will form the basis of TL Competency #59, which will follow this one (#58).

Step One: Complete a 360 Assessment

Use the *Leadership Skills Inventory* (LSI) online at <http://www.CRGLeader.com/everyofficer>, or use the Competency List that is at the end of the LSI, or design/use an official leadership competency list that your organization has developed. The feedback received from at least 6 people should be confidential should be seen by only you or a coach whom you decide to work with. Ideally you would select six people and your supervisor would select three people to provide you with feedback. Your supervisor would also provide you with feedback. There are a number of 360 degree feedback tools but none that have the 60 skills in this book except the LSI.

Step Two: Interpret the Results

Interpret the results carefully realizing that any feedback you get is a judgment based on perception and not a completely objective evaluation of your performance. Many positive comments will validate and affirm that you have the competencies you know you have. Other comments may be critical and if you perceive them as valid and then work on developing specific skills to deal with the identified issues. Finally, some comments may be inaccurate and you may decide to attempt to change the perception that some people have of your behavior by altering how you approach certain people or situations. Realize that you are responsible for

altering the perceptions that you create in others' minds...because they often will not change their minds unless your behavior gives them reason to do so. In other words, how people perceive you is how they will evaluate you...and you can take responsibility for making that change for the better.

Step Three: Build Your Leadership Development Plan

Get the help of a competent certified leadership or executive coach to assist you to interpret the feedback you receive and build a plan that will help you reach your career and performance goals. If you can't hire an external coach, find a competent colleague who will confidentially serve in that role. Building a plan that is concrete, behaviorally based, and achievable is of critical importance if you really are serious about leadership development. In our experience, those who create effective plans demonstrate the most impressive changes.

Step Four: Share Your Plan with Your Supervisor and Coach/Mentor

Some organization's leaders have committed to sharing their leadership development plans with their supervisors. The extent to which you have achieved your leadership development plan can become part of the annual review and evaluation process, and some employees have requested to have their plan and the positive evaluations they received to be a part of their permanent personnel file. This makes leadership development process more relevant and significant if it is counted in the final annual evaluation process. Once your supervisor, coaches and/or mentor understand your goals and support them...the chance of your learning and gaining competence is exponentially leveraged. How others will perceive your potential for promotions will be affected as well.

Step Five: Implement Your Plan

This is the Critical Success Factor. Implementation of the plan is 95% of the work...planning is 5%. Regular bi-weekly or at least monthly coaching session with your coach will be a strong support to ensure that you are on track with reaching your goals and gaining the skills you need for that next promotion or to improve your job performance and rating evaluations. Finding key people who are competent at modeling the skills you want to learn is important. Seeing how the skills work effectively is the way most people learn best...on the job. Then trying to perform the skills yourself, with on the job real time feedback will seal the skills into your repertoire.

Step Six: Evaluate Your Progress

At the end of a specified period of time (usually a year) repeat the 360 survey again and compare the ratings and feedback by sending out the 360 survey to the same 10 people. Go through these steps annually for optimum development.

The insights that you or those you lead will gain from completing a leadership 360 assessment can be used to develop a plan for your or their growth and development as a leader. There are different ways to help others to build and enhance your or their plan and its outcomes.

Realistic Expectations: How Quickly Can You Develop Leadership Skills?

Most people who aspire to be effective in leadership and who realize the complexity of the task (and the preparations needed), understand that development does not come primarily because of a course or a book. Usually people have to go through a number of levels in developing leadership skills competency and the advanced ability to pass the “torch” along to others. The following is a very general estimation of the time involved and will, of course, vary depending on the individuals involved.

- Knowledge about concepts and skills may take from a few hours to a few weeks to internalize.
- Gaining understanding and working knowledge (ability to try the skill on one's own without supervision) may take a month or two.
- Competence (the ability to perform reliably well) is learned through mentoring, training, coaching, and through making unpleasant mistakes as well as having successes. This stage may take from six months up to two years for some of the more complex skills.
- Dynamic creativity in the application of skills comes after many years of practice and experience.
- Ability to mentor and train others comes easier when the leader's own skill sets are well established and he or she has become unconsciously competent in a wide range of skills. Unconscious competence is the psychological state that exists when a skill becomes “second nature” to an individual and they have the ability to pass the skill onto others.

Conceptually grasping the importance of each skill, and how it can be applied, is the first and most critical step in developing skills. That is why reading and studying this book can provide you will a jump-start in your skill development.

TL Skill #59. Coaching other Leaders to become more Effective Leaders

The previous skill of helping others to assess their specific leadership learning needs and build a plan to develop them are distinctive from this skill of coaching them to become more effective on the job. Once you have helped someone go through the steps above you can now proceed to help them:

- Share their plan with their supervisor (even if it is you...sometimes the supervisor is the coach, but that may not always be best).
- Implementing Their Plan

- Evaluating Progress

Before looking into how to best achieve the above steps, it is important to understand the distinctive role and skill of coaching and how this set of skills is related to the learning process so that skill development can transfer effectively to the work place.

Coaching is one of the fastest growing human resource development movements and nearly anyone can learn how to coach themselves and others. The need to learn fast and become good at leadership, management and life is strong and intense in the face of a turbulent present and an increasingly uncertain future. Karen S. Peterson, reporter for USA TODAY states about coaching:

Although many coaches take extensive courses, many others are without credentials. Virtually anyone can declare himself a life coach, says David Fresco, a psychology professor at Kent State University, Kent, Ohio. "There are no qualifications, no unified approach to coaching, no oversight board. Basically, they fly under the radar screen of any sort of oversight." And the virtues of what many offer are unproven, he says.

Many experts also worry that untrained coaches will not realize when they are dealing with someone who is truly troubled, someone who needs more than a "good lesson plan and an enthusiastic cheerleader," writes *Psychotherapy Networker* editor Richard Simon. "Coaches do not, nor do they intend to, meet us in the dark places where we're most desperate, lonely, enraged and fearful — home turf to most psychotherapists."

Coaching Is Distinctive

Despite the cautions that are outlined above, we see very positive potential in the role of coaching and the skills that it entails. This is because when all of the various roles we have examined in ***Every Officer Is A Leader*** are considered, the role of coach stands apart as the only one that can bring a number of factors together for the specific benefit of those who want to be coached:

- An ongoing confidential partnership where the one who is coached sets the agenda (as opposed to a professional or superior setting the agenda).
- A focus on development and achievement (as opposed to healing or recovery).
- A skilled communication process specifically developed and refined to promote individual development.
- A commitment to recognize an individual's current ability to be insightful and skillful in moving towards their objectives, and their additional capacity to become even more insightful and skillful (as opposed to relying on outside expertise).

- Not prescribed or limited by the professional's or supervisor's expertise beyond the need for the coach to be able to understand others' experiences and help them formulate goals and action plans.

The Coaching Role Has Some Advantages

- A **colleague** who is assuming a coaching role may be the only skilled person to whom an individual or team can turn for ongoing confidential support in the pursuit of a personal or team development agenda that they set—one which is self-chosen, and not laid on or limited by someone else's beliefs, goals, curricula or training calendar.
- A **skill coach** enhances an individual's capabilities to achieve their personal life and career goals and enhance their job performance through a process that is self-driven, results-oriented and focused on finding their own answers within themselves as well as learning from experiences that the coach may share from time to time. This kind of coaching is often skill development focused.
- A **life coach** supports people through skilled and deliberate ongoing discussions that enhance the individual's ability to use their own insights and capabilities to develop, enhance life, and set and achieve goals that they define as meaningful and important.
- An **executive coach** is a professional who supports managers and leaders through skilled and deliberate ongoing discussions that focus on the achievement of observable and measurable results that often benefit the manager or leader as an individual and their organization. Executive coaches help their clients clarify their own definitions of personal and professional success and assist them to reveal and expand their capacity to develop, improve performance, contribute to their organization, and enhance the quality of their own lives.
- A **corporate coach** is a certified professional who has the expertise to assist executives to develop their leadership competencies, develop an executive team, plan strategy and its effective execution, build a continuous improvement team and process, and create a coaching culture in an organization, and coach other leaders to learn to do the same kinds of things.

Fundamental Assumptions about the Emerging Role of Coaching in the Workplace

The following are assumptions that are currently acknowledged in the field of coaching.

- The belief that coaches can integrate methods, knowledge or skills from a wide range of disciplines or theoretical foundations (from sports coaching, communication, problem-management, decision-making, counseling, consulting, mentoring, etc.) so long as positive outcomes are the result and generally, a "coach approach" is in focus. Many of these skills are in previous chapters in this book, but specific coaching skills can be utilized in addition to the ones in this book. However, it is not the primary purpose of this chapter to prepare

you to become a competent coach, but to help you see resources and opportunities for you to gain coaching skills.

- The belief that these three factors, competence, experience and training are all important...but in that order of importance.
- The belief that coaching's most pressing challenge is to delineate measurable performance criteria and then measure some degree of competence that results in verifiable outcomes.
- The belief that it will be upon this foundation of competence that achieves positive outcomes that coaching will establish itself as a profession and not in measuring how many hours of training or experience one has had even though these are easier to measure than competence. The field of counseling had to use videotaped clinical sessions and client follow-up in order to verify competence and outcomes. It was not until competencies were identified and the use of audited videos became common practice in graduate schools that counseling and counselors have become more reputable and assessed as being more reliable in their performance (since the 1980's for most graduates). The same "field training" requirement has been present with police officers, surgeons, soldiers, lawyers, accountants, carpenters, mechanics and many other professions before them. They had to be coached and/or mentored to competency levels that were reliable BEFORE they were allowed to take your brain or your engine apart.
- This important matter is an age old challenge in every profession and not just coaching.
- There will be more and less competent coaches no matter what degree of experience or training they have especially when the criteria for defining competence is not verified against outcomes of coaching.

So, what is it that leads one to coaching competence? Training hours and experience hours? Or maturity? Our parents? Or emotional and/or social intelligence? Organizational intelligence? A deeply caring heart? Wisdom? Creativity? What?

There is 360 degree online assessment technology available that could enable clients and those who observe or otherwise audit coaching sessions of coaches, to achieve a more consensus-based and objective measurement of a coach's competence in performing what is currently defined as coaching.

In this way research could be conducted on a large scale to explore the extent of agreement regarding the nature and breadth of coaching's distinctive competencies (if there really are any) and the extent to which a range of specific outcomes of coaching are perceived to be present as a result of a coach's behavior (and attitudes, and/or creativity) by clients, by peers and/or by "expert" raters.

Here are some more coaching process skills and actions that the authors have observed to be effective for coaches who want to help others to develop their skills, and evaluate the results:

- **Identify Skill Strengths and Leverage Them:** Target resources, coaching, mentoring, training or classes that will help leaders to increase their understanding and practice in specific skill areas.
- **First Enhance Strengths:** Leaders will benefit from paying attention to and exercising those skills where they already have a degree of strength so they are able to enhance their leadership influence and effectiveness. The authors have found this to be the fastest way to improve competence...leverage existing strengths to the maximum.
- **Develop Skills that are Needed to Improve Performance:** Leaders will also benefit from working on skills that are both moderate and weaker in strength. This will assist in the capture of lost opportunities, optimization of their potential, and the elimination of blind spots.
- **Find an Internal Coach or Coaches:** An internal **coach** is someone with whom leaders work, usually short term (for a week or a month or two), who can help leaders to gain specific skills in the workplace. The coach observes leader behavior at work providing feedback and coaching tips in real time. Leaders may find, or you may need assistance in finding more than one internal coach. Each coach will focus on specific skills. Leaders simply find someone who does something they want to learn and ask them to show them how they do it and then after observing their own performance of that skill, the coach provides them with feedback. This is the Field Training model that has been so successful in the past in many environments. This internal coach can also be a leader's supervisor but does not have to be.
- **Find a Mentor:** A mentor is someone who can work with leaders for a longer period of time (usually a year or more) to help them develop a life and career plan, gain understanding of how to be successful in the culture in which they work, and to understand the political behaviors occurring in their workplace that can sometimes be either landmines or opportunities. A mentor is someone who wants to promote the leader's success and help him or her to move toward their vision of a preferred future. This person can be inside or outside the work place and can validate perspectives and competence as well as challenge leaders to develop capabilities that will be beyond what they might otherwise have considered.
- **Acquire the Services of an External Leadership Coach:** This can be the most powerful way to develop your leadership capabilities in an organization. Suggest that leaders share the results of their 360 degree assessment with someone who is a competent coach or mentor in leadership, someone more experienced and effective as a leader than they are...and ideally someone who has some kind of reputable coaching certification. Leaders can use the insights from coaching sessions as a basis for planning the direction of learning and receiving coaching in key skill areas where they can gain skill and awareness.
- **Coach Leaders to Observe Other Leaders in their Work Environment:** In this way they can see how they practice the various skills they want to learn in their leadership roles.

While behavior modeling is a common way that we learn to do what we do anyway leaders will see greater benefit from having a set of skill development goals clearly in mind.

- **Conduct another 360-degree feedback** and review the results...and repeat this cycle at least annually.

TL Skill #60. Lead Environmental Scanning and Initiate Proactive Responses to Future Trends

As leaders take responsibility for doing continuous environmental scanning (in doing both internal and external scans) they will find that the future is coming at them very quickly! So quickly that it is imperative to not only have strategic plans but to also have proactive and preventive strategic plans in place to deal with the turbulent changes that we face at this time in history.

Initiating Internal Environmental Scans: Some internal scanning methods and resources (for assessing trends internal to your organization) were described in previous chapters. Skill #60 focuses on the ability to *remain continually focused with one eye on the horizon* of change and one eye on the organization and its need to adapt to change or affect trends that are on their way into communities. To gain the ability to remain focused on the future and its likely impacts on your organization or team is a competency that can be developed and the one which is in focus here.

Although this book's primary purpose is not to teach you to be a crime analyst or a futurist, it is important to emphasize that having this kind of *futures focus* is becoming an increasingly important competency that leaders must develop. Leaders must help other leaders develop a futurist orientation if they are to have an impact on such important issues as leader and organizational incompetence, terrorists making inroads into our countries, disturbing crime trends, the proliferation of ever increasing numbers of designer drugs (to name a few) and the resultant social deterioration that is currently occurring as a consequence of these major factors.

Initiating External Scans and Designing Proactive Interventions: An example of where leaders and organizations have been successful in learning this proactive approach can be found in the futures archives at <http://libcat.post.ca.gov/dbtw-wpd/ccpapers.htm> to search for past papers by topic. In addition, a similar approach to forecasting and intervening to prevent the further development of a current or future crime trend can be found at <http://www.popcenter.org/problems/>. Another more in-depth article about how to do proactive crime analysis and plan to reduce a crime trend can be found in this 150-page manual: <http://www.popcenter.org/Library/RecommendedReadings/60Steps.pdf>.

Example – New Emphasis on Accountability for Efficacy: An important trend that leaders will want to stay abreast of is the challenge by government and the public to all parts of the criminal justice system that it must demonstrate that it is accomplishing, in tangible and measurable ways, what it says it purports to achieve when it uses public monies. Recently in the

UK critics have challenged the police community that has claimed that it is responsible for actual reductions in crime to prove that their interventions were, in fact, the primary causes for those reductions. This trend is not likely to go away but will likely increase in intensity and frequency across the globe. See <http://www.crimereduction.co.uk/> for examples of some of the outcomes of crime reduction legislation, intervention programs and projects, and ways to measure their successes.

Some Practical Actions that You Can Take To Enhance Your Leadership Future Intelligence

To demonstrate that you have leadership future intelligence you could initiate some of the following:

- Get a future scan of various sorts done in your organization or community by those who do it well.
- Put a discussion about future trends that affect your organization on the agenda of every meeting.
- Create a futures committee or have it be a recurring regular agenda item if you have a CIT in your organization.
- Attend Futurist Conferences or bring in a futures speaker to your agency.
- Add a study of future trends to your reading list.
- Subscribe to free newsletters in your professional area and read or post them, i.e., http://www.policefuturists.org/newsletter/current_issue.htm

Due to constraints of space in this book and chapter we are not pretending that we are able to do justice to this significant issue of attending to future trends and preparing for their eventuality.

In Conclusion

The endeavor of creating and managing positive change is really just emerging as a science and an art. This book is a starting place where you can learn from the past, which might be transported effectively into the future to become a new kind of leadership practice—a constantly adaptive and evolving leadership.

Justice and public safety organizations have unique challenges. For example, police must effectively implement skills internally, then into community-policing organizations. Finally, they must extend those skills into the policing of the community through the membership at large.

The leader who exercises power with honor will work from the inside out, starting with himself.

Blaine Lee

Those are challenges that require new focus in teaching within the police organization to foster those skills in all police officers and nurture their development for the good of the organization and the good of the community.

The need to operate seamlessly and communicate more effectively is more

important now than ever. Only effective leaders will make that happen.

Many books describe transformation in organizations and illustrate how excellence has been achieved. They do not, however, offer a comprehensive, integrated, competency-based working model that reveals and develops within the readers the knowledge, skills, and tools for transforming themselves, their teams, and their organizations into more powerful ones—that can produce both strategic and human development results simultaneously.

There is a wealth of additional ideas regarding the nature of the transformation process and how leadership can have positive impact. (See Albrecht, 1987; Bass, 1985; Bennis, 1966; Beckhard and Harris, 1987; Brandt, 1986; Kirkpatrick, 1984; LeBoeuf, 1980; Martel, 1986; Tichy, 1983; Tichy and Devanna, 1986.)

Especially recommended are the following.

- *Strategic Planning for Police*, edited by Dan Ogle (a publication of the Canadian Police College, Ottawa, Canada);
- *Police for the Future*, by David Bayley (1994);
- *A Systems Thinking Approach to Strategic Planning and Management*, by Stephen Haines (2000); and
- *Systems Thinking: The New Frontier: Discovering Simplicity in an Age of Complexity*, by Stephen Haines (2011).

Individuals who are serious about reviewing some of the critical works that were written prior to this book can review any one or all the above authors' publications.

To conclude this section, we turn to the words of John Kotter (1990), professor of organizational behavior at the Harvard Business School:

Leadership and management are sufficiently different that they can easily conflict with each other. A firm made up mostly of leaders and managers often polarizes into two warring camps—eventually resulting in one side's winning (usually the managerial camp, because it is bigger) and then in the purging of the other side. In firms with a large contingent of leader-managers, this rarely happens.

The Transforming Leadership approach asserts confidently that any manager who wants to become a better leader can learn to do so! Transforming Leadership is an attempt to provide these “right circumstances,” Kotter suggests.

This book, *Every Officer Is A Leader*, combined with a program of formalized mentoring or coaching, can be the next step for many who would stretch themselves from the limitations of management into the exciting challenges of leadership. This new development and growth can have positive impact at every level of society—at home, at work, and in our other systems.

If you are interested in the cutting edge of coaching as an emerging professional set of skills and, as an executive or organizational coach, a unique approach to implementing Transforming Leadership, please refer to the coaching resources referenced below, under the heading of Coaching, Team, and Organization Development Links and Resources or under the heading of Coaching References.

Leader Coaching, Team, and Organization Development Links and Resources

- <http://www.ConsultingCoach.com> (Author Website)
- <http://www.kdgsecuritymgmt.ca> (Author Website)
- <http://www.CRGLeader.com> (Coaching, Training, Team, and Organization Development Resources)
- <http://www.WardClapham.com> (Leadership Website of Ward Clapham)
- <http://www.WABCoches.com> (Worldwide Association of Business Coaches)
- <http://www.peer.ca/peer.html> (Huge repository of coaching and mentoring resources)
- <http://www.LifeCoachTraining.com> (Life Coach Training Resource)
- <http://www.mentoring-resources.com> (World Mentoring Authority)
- <http://www.hainescentre.com> (Systems Thinking and Strategic Management Certification)

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8 The Skills of Applying Ethics in Transforming Leadership

By Paul Tinsley, EdD (late)

Transforming Leadership Is Ethical Leadership

The soldier, be he friend or foe, is charged with the protection of the weak and unarmed. It is the very essence and reason for his being.

General Douglas MacArthur

This chapter does not need a lengthy introduction—simply that its purpose is to explain how Transforming Leadership is ethical leadership and what “true” leadership looks like in real life. This will be done by outlining the challenges facing police leaders, justice, public safety, and security today, the challenge of Transforming Leadership, and the practice of ethical leadership.

But before we get to that, this chapter will first take you back 35 years and start with a story that vividly shows the difficulties and burdens of ethical leadership, but also how it can make an incalculable difference on the lives of others.

The Hugh Thompson Story

This story is not about someone famous—like a well-known historical character, movie star, sports idol, public figure, pop icon, published academic, or other celebrity. On the contrary, the name will not likely be recognized by most readers, certainly not by Canadians and probably not by most young Americans. Nor is the story current; it occurred over 35 years ago.

So why tell it? Because the story is about a true leader—a quiet hero, a forgotten hero—who had the courage to stand up for his convictions, even in the face of adversity and at great personal risk. Such stories cut across time, nationalities, and political boundaries because they are about moral courage, justice, and compassion. It is the Hugh Thompson story—the forgotten hero of My Lai—about an appalling war crime that took place in 1968 during the Vietnam War.

The Setting

I first became aware of the Hugh Thompson story in 1998 when I attended a law enforcement ethics conference at the Center for Law Enforcement Ethics (Southwestern Law Enforcement Institute, Plano, Texas)¹. Hugh Thompson was the guest speaker at a luncheon, where he gave a presentation on “moral courage.” People who hear the story personally are deeply moved, regardless of whether they have any history with the military or law enforcement.

¹ Now known as the Institute for Law Enforcement Administration (of The Centre for American and International Law, Democracy Drive, Plano, TX.).

Journalist. Author Trent Angers (1999), in his book, *The Forgotten Hero of My Lai: The Hugh Thompson Story*, begins with a quote by General Douglas MacArthur (1946), “The soldier, be he friend or foe, is charged with the protection of the weak and unarmed. It is the very essence for his being.”²

This principle applies to police and law enforcement officers, as well, because in a democracy the protection of the rights of the weak and powerless is a necessary condition for justice and liberty to exist, and is the standard against which moral leadership must be measured.

Upon hearing the Hugh Thompson story, the Steering Committee of the British Columbia Police Leadership Conference made arrangements with him to address the 2000 conference in Vancouver, Canada.³ Here, Hugh Thompson spoke to more than 300 police officers from across Canada; most had either forgotten about the Vietnam war or had never heard of the My Lai massacre.

According to journalists Trent Angers (1999) and Mike Wallace (1998), the My Lai massacre was “perhaps the most shameful chapter in the entire [Vietnam] war, involving the slaughter of some five hundred unarmed Vietnamese civilians by US Soldiers” (p. 17).

Yet, out of this tragedy comes a story that needs to be retold because it reveals, better than any academic discussion or theoretical debate, what ethical leadership is really all about—transforming people’s lives by committing to what’s good, right, and just, putting the welfare of others first, showing moral courage in the face of adversity, and keeping a humble perspective on a person’s accomplishments.

The Heroes

What does not kill us makes us stronger.

Friedrich Nietzsche

In March of 1968, Hugh Thompson, a Warrant Officer in the US Army, was the pilot of a scout helicopter. Thompson’s gunner was Larry Colburn and his crew chief was Glenn Andreotta; they were flying missions in Quang Ngai Province, which included the communities of My Lai, My Khe, Co Luy, and Tu Chung.

² When accepting the Soldier’s Medal on March 6, 1998, at the Vietnam Wall, Larry Colburn, Hugh Thompson’s gunner who assisted in the rescue, also used this quote.

³ The Police Leadership Conference is held bi-annually in Vancouver, BC, Canada. It is sponsored by the British Columbia [Canada] Association of Chiefs of Police, the Justice Institute of British Columbia Police Academy, along with the provincial Solicitor General.

The job of flying as an aero scout was extremely dangerous because the sole purpose was to locate the enemy by drawing hostile fire, which in turn allowed the Huey gunships in the air team to attack and destroy the hostile targets with their superior firepower.⁴

March 16 was different, though, because it marked the launch of operation Task Force Barker, whose objective was to rid the entire area of enemy Viet Cong. But rather than a typical military operation, this one went terribly wrong and was the beginning of a 4-hour slaughter, when soldiers, under the leadership of Lieutenant William Calley and other officers, began shooting indiscriminately at unresisting and unarmed old men, women, and children. Trent Angers describes the events as follows.

Some of the Vietnamese who surrendered were rounded up and moved to a dirt road on the outskirts of the hamlet. They were made to sit down and be quiet as a handful of soldiers guarded them. Then, 20 to 30 minutes later, someone gave the order to get rid of them, and the soldiers poured dozens of rounds of automatic weapons fire into the women, children, babies, and old men as they sat helplessly in the dirt (p. 109).

To repeat what others have said, requires education, to challenge it requires brains.

Mary Pettibone Poole

Hugh Thompson, Larry Colburn, and Glenn Andreotta were flying overhead and soon began to realize something was not right on the ground—they “could hardly believe their eyes...bodies were everywhere” (p. 127). Confronted with the horrific truth of what was happening, in a dramatic intervention Thompson landed behind Vietnamese civilians who were fleeing into a bunker, with his helicopter facing pursuing American soldiers.

As Colburn and Andreotta “covered” him with the helicopter guns, Thompson approached the advancing soldiers and ordered them to stop, after which he went to the bunker and helped out two women, five children, and two elderly men. He led this small group of survivors back to his helicopter and convinced the pilot of a large Huey gunship in the air team to land and pick up the survivors, an act that violated military protocol because the Huey had to set down in enemy territory.

After arranging this daring rescue, Thompson decided to pilot his helicopter over an irrigation ditch, where they got a look “at the most awful scene any of them had ever witnessed” (p. 129).

As they flew over, Thomson and crew saw countless dead bodies in the ditch; the number appeared to be over 100 men, women, and children who had been shot and left there to die. When Andreotta noticed some movement, Thompson again landed his helicopter, got out, and guarded one side of the helicopter while Colburn guarded the other side.

⁴ The details here can be found in Trent Angers’ (1999) book, which meticulously documents the historical events and facts that took place that day.

Andreotta went to the ditch, made his way through human corpses, and carefully lifted out a child of about five or six years, covered in blood and in a state of shock (p. 129). They took the child into the helicopter and flew her to a hospital in Quang Ngai, leaving her in the care of a Catholic nun, then flew to a local airstrip to refuel so they could make it back to base.

Thompson was completely outraged by what he had just witnessed and wasted no time in reporting the events of My Lai to his superiors; the immediate result was that cease-fire orders were given and, subsequently, the Operation Barker was terminated. In addition to the lives Thompson and his crew saved at the village of My Lai, Thompson's follow-up with his superiors likely saved many more innocent lives.

Thompson assumed the military would conduct a full-scale investigation into the events of My Lai, but what he reported was not what the US military wanted to hear in the context of an already unpopular and difficult war. To make matters worse, Glenn Andreotta was killed a few weeks later while operating a machine gun on a chopper shot down by the enemy.

Months passed by and it appeared that "in addition to the human casualties, the truth about the massacre was well on its way to an early grave" (p. 143). All the while, Thompson continued to fly his dangerous scouting missions and was hit by enemy fire eight times during his tour of duty. In August of 1968, the helicopter Thompson was flying was shot down and he sustained serious injuries that included a broken back, which ended Thompson's tour of duty in Vietnam.

After recovering from his injuries, 1969 found Thompson in Alabama teaching soldiers how to become helicopter pilots. He heard nothing about My Lai until another soldier who had knowledge of the massacre, but who was now out of the army, decided to write a personal letter to President Nixon and various high-ranking military officials about what he had heard.

The Irony

*Don't be afraid of opposition.
Remember, a kite rises
against, not with; the wind.*

Hamilton Mabie

As a result of this letter, in June of 1969 Hugh Thompson was called to Washington where he again recounted what he witnessed in My Lai. By the end of June, a criminal investigation was finally launched and in September, Lieutenant William Calley was charged with the murder of over 100 Vietnamese civilians, followed by charges against more than 20 other soldiers (p. 157). Later in the year, another army investigation was conducted as to the integrity of the first military investigation, which appeared to be a whitewash or cover-up, where truth became the second casualty of the war.

The Armed Services Committee of the US House of Representatives also took an interest in My Lai and Hugh Thompson retold his story to them. More officers and soldiers were charged with murder, which included Captain Ernest Medina, who was Lieutenant Calley's immediate superior. Medina was charged because he was a superior officer on the ground at My Lai—he held command responsibilities, yet failed to stop US soldiers from committing atrocities that

included not only murder but also rape, maiming, scalping, and torture—all “war crimes” according to the Geneva Convention (p. 185).

Charges were also laid against other officers with command responsibilities, from lieutenants to generals, where the charges ranged from dereliction of duty to cover-up of war crimes.

During Thompson’s testimony before the Army’s board of inquiry, in an incredible turn of events, Thompson found himself on the defensive. The questions were now: Did he order Andreotta and Colburn to “cover” him against American soldiers? Did he order Andreotta and Colburn to point their weapons at American soldiers? Did he threaten and obstruct American soldiers in their duty during war? Did he commit treason? Should he be the one court-martialed?

Thompson also found himself on the defensive when testifying in front of the House Armed Services Committee and the Investigating Committee. In an astonishing irony, the question was now whether it was Thompson who should be punished for being a traitor and whether it was Calley who should be rewarded for being a hero, compelling Thompson to take the Fifth Amendment more than once (169–178; see also Peers (1979)).

*Live one day at a time,
emphasizing ethics rather
than rules.*

Wayne Dyer

*That you may retain your
self-respect, it is better to
displease the people by doing
what you know is right, than
to temporarily please them
by doing what you know
is wrong.*

William J. H. Boetcker

But, despite the threat of a court martial and the grief of reliving the horrors of My Lai, compounded by the stress of being a prosecution witness against fellow soldiers, Thompson did not back down, giving his testimony in 15 to 20 Article 32 hearings (similar to Grand Juries) and later, as chief witness for the prosecution (p. 167).

Thompson found himself experiencing a “growing sense of loneliness and isolation,” the result of being ostracized by many of his peers and fellow soldiers—he had “ratted” out on Charlie Company and threatened US soldiers on the battlefield. Thompson would walk into a military social setting, looking for friendly conversation, but rather than giving support for his doing what was right, soldiers would get up and leave the room.

As a result, Thompson began to avoid identifying himself and his connection to My Lai. But despite the ignorance that attempted to make out Warrant Officer Thompson as the villain and Lieutenant Calley as the loyal soldier, in 1971 a jury convicted Calley of murdering 22 Vietnamese civilians. Yet, even though he was convicted of multiple murders by a jury, the majority of the public appeared to disapprove of Calley’s penalty, which was a life sentence at hard labor in prison (Angers, 1999, p. 182, citing a poll commissioned by *Newsweek*, April 12, 1971).

Public opinion, however, was undoubtedly influenced by wrongheaded prominent public officials and others who consistently portrayed Lieutenant Calley as a scapegoat—just a loyal soldier obeying orders—even a national hero. This likely explains the final chapter of the My Lai

chronicle, where Calley was the only soldier found guilty of wrongdoing and then only served three years of his life sentence before being paroled.

The Aftermath

It is on our failures that we base new and different and better success.

Havelock Ellis

Hugh Thompson returned to training helicopter pilots but in 1975 was discharged from the military, ostensibly due to downsizing after the Vietnam War ended. A short time later, the Army reconsidered and offered Thompson re-engagement, but at the reduced rank and salary of warrant officer (he had achieved the rank of Captain and company commander).

A real leader faces the music, even when he doesn't like the tune.

Anonymous

Thompson, a career soldier at heart, accepted the offer, in spite of the reduced rank, and served in the military until 1983, when he retired. Rarely did he ever talk about the events of My Lai and by the late 1980s, Hugh Thompson “had all but disappeared from the American consciousness,” fading into obscurity (p. 193).

But My Lai would not be forgotten—a British journalist by the name of Michael Bilton became intrigued by My Lai, producing a documentary film in 1989⁵ and writing a book (with Kevin Sim) in 1992,⁶ both focused on the 4-hour human tragedy in My Lai.

One of those who saw Bilton’s documentary was Professor David Egan of Clemson University, South Carolina, who began a long and difficult campaign (unknown to Thompson) to have Hugh Thompson recognized by the US military (and the public) for his courageous act of moral leadership under the most difficult of circumstances in battle.⁷

Finally, on March 6 of 1998, less than two weeks before the 30th anniversary of the My Lai massacre,⁸ the US military finally awarded Hugh Thompson and Larry Colburn,⁹ along with Glenn Andreotta (posthumously), the prestigious Soldier’s Medal in a ceremony at the Vietnam Wall, Washington, DC.

Here, the US military would finally acknowledge publicly the ethical conduct of Thompson and his colleagues, where the official written narrative accompanying the Medal described Thompson’s intervention at My Lai as “heroism” that exemplified “the highest standards of personal courage and ethical conduct” at the risk of his own personal safety.

⁵ *Remember My Lai* (television documentary), 1989. This documentary has played on PBS in the US

⁶ *Four Hours In My Lai*, New York: Penguin Books, 1992.

⁷ Thompson also credits Lieutenant Colonel Kevin Clement for playing a significant role in this process. It is noteworthy that although one may get the impression the entire military turned against Thompson, there were many thoughtful officers who always recognized Thompson’s heroism.

⁸ 1968 March 16.

⁹ Thompson was instrumental in ensuring that Colburn and Andreotta were also recognized.

Subsequently, Thompson was also awarded the Courage of Conscience Award, sponsored by the Peace Abbey (affiliated with Harvard Divinity School and Wellesley College),¹⁰ which is given only to those who have made a significant contribution to humanity, especially to the poor and helpless. Thompson has also been invited to speak on battlefield ethics to the US Military Academy at West Point, as well as a major human rights conference in Levanger, Norway. Thompson's story is now used in US and European military ethics manuals and demonstrates a "soldier's obligation to disobey illegal orders" (p. 220).¹¹

The Challenges Facing Police Leadership Today

There are no insoluble problems. Only time-consuming ones.

James A. Michener

True leadership is not well understood, evidenced by the numerous and varied theories that often confuse more than clarify this important subject.

It is still useful to start with a definition for the purposes of review and introducing this chapter.

Although a precise definition is elusive, some central features are generally agreed (and have been elaborated in other chapters in this text) and include the following.

Leadership is an Activity

Leadership is an activity or a process. For example, leadership cannot occur within a static position, even if formalized within an organization. By definition, leaders must go out and "lead" others and, as such, are seen as "change agents."

Leadership is Relational

Leadership is relational, where leaders influence others to work together within some kind of social structure. Such influence may be transactional in that a *quid pro quo* relationship exists (the most extreme example would be a mercenary soldier of war) or is persuasive in that followers come to agree with the reason for the activity in question—or some combination of the two.

Leadership is Visionary

Give to us clear vision that we may know where to stand and what to stand for – because unless we stand for something, we shall fall for anything.

Peter Marshall

Leadership is visionary—leaders identify the common purpose that motivates others to work together, generally understood in terms of a shared objective or goal (Northouse, 2004, p. 3; see also Kanungo & Mendonca, 1996, 13–16, and Johnson, 2001, p. 6).

A "common sense" definition has been presented by Gardner (1990), who

¹⁰ Other recipients of this award include Mother Teresa and Mahatma Gandhi.

¹¹ "Illegal orders" here means orders that contravene international human rights agreements, like the Geneva Convention. There is, however, also a duty to disobey "unethical" orders, where the reader is referred to Lewy (1970), who writes of the dictates of conscience and the Nuremberg trials.

suggests that “leadership is the process of persuasion or example by which an individual (or leadership team) induces a group to pursue an objective held by the leader or shared by the leader and his or her followers” (p. 1). This definition is different in that it includes the “leadership team” and so adds an interesting dimension to the leadership discussion that fits well with Transforming Leadership.

Before continuing with this discussion, though, we will first take a look at three organizational challenges facing police agencies today, followed by a fourth challenge—that of leadership. Then the discussion will turn to the challenge of Transforming Leadership.

Three Challenges

There are three different challenges facing police organizations today that may be classified as operational, administrative, and political (Layton, 1992, pp. 5–37).

Operational

These challenges generally involve crime control and order maintenance functions of police in society, including that of investigating organized crime, drug-trafficking, violent crime, social disorder, gangs, and so on. Here, police response must be consistent not only with society’s expectations but also with the law.

Political

These challenges involve being accountable to the political environment, yet not being vulnerable to inappropriate political interference or control. Inappropriate political interference (or control or direction) is usually not related to policy issues (which are the proper responsibilities of politicians), but those relating to issues involving police operations, such as criminal investigations.

Administrative

These challenges involve leading the police organization, which include defining service quality, allocating resources, dealing with union issues, transfers, and other day-to-day management and administrative issues. These are critical challenges for police leadership, which “is subject to determination by factors which are external to the organization, as well as by internal group factors” (Stodgill, 1997, p. 121).

Police organizations have historically responded to these challenges in a very formal way, often in a form and manner that resembles the military. The hierarchy or chain of command is formal (reinforced by wearing rank insignia on uniforms), as is the flow of information and direction—i.e., superiors give orders to subordinates—all of which is underpinned by policy and legislation.

This formalism is illustrated relationally, where it is not uncommon for subordinates to address executive officers as “sir” or “ma’am” or by their formal titles and where saluting still occurs at

formal occasions. Bayley (1994), a well-known criminologist who specializes in police studies, describes the police organization as follows:

Above all, police organizations want to avoid making mistakes for which they can be blamed. They seek to achieve this through an elaborate hierarchy of command, an insistence on compliance, and punitive supervision based on detailed rules covering almost everything that a police officer might do. Decisions are traditionally made at the top and passed down what is referred to as the “chain of command.” Decision making is rarely participative or collegial across rank lines. Senior ranks hesitate to delegate responsibility to subordinates, and subordinates are reluctant to accept it (pp. 60–61).

Although decision-making may be more participative in some police organizations today, management is still characterized by the military “command and control” style that is inconsistent with the goals of modern day policing (see Thibault, *et al.*, 1998, p. 95). As noted by Bayley (1994), however, “the establishment of this discipline-centered management system is not really the fault of the police” (p. 65). Society today is highly suspicious of the police and, in recent years, the collective demand for increased accountability to the law and public opinion is intense.

Although participative and inclusive decision-making is still sought within policing and has been more successful in some organizations than in others, there is no doubt that a command-and-control style still underpins the management of many police and law enforcement agencies.

Accompanying the command-and-control leadership style are mountains of rules and policies that are often in conflict with the realities of policing. In policing, line officers exercise the most discretion when it comes to law enforcement and other policing duties. Those at the bottom of the hierarchy have the most contact with the public and exercise the greatest enforcement discretion (MacDonald, 1986, pp. 158–160).

Because the exercise of such discretion is largely beyond management control, layers of rules and policies are created in an attempt to control it. Given the complex environment in which the police function, this response is understandable, but line officers often view it as management being “out of touch.”

The Leadership Challenge

Given the demands and expectations of the three challenges outlined above, it is no surprise that the fourth and most significant challenge for police agencies today is that of leadership, where police leaders need to transform their organizations so that they are consistent with the philosophy and modern goals of democratic policing (which include Community Policing, public service, and problem-solving), yet accountable for the authority that society has entrusted to them.

Leaders need to cross boundaries, encourage diversity, and encourage self-leadership skills, where the message is that leadership can be displayed at any level of the organization.

Significantly, police on the front line are not only ready for the change, they anticipate it. According to MacDonald (1986), Jermier and Berkes found in 1976 that line officers preferred a participative, supportive leadership style. Similarly, Shetzer, *et al.* (1994) found that line officers viewed the current command-and-control style as deficient (p. 182).

This research was supported at a recent police leadership symposium (Tinsley, 1998), where recommended best practices in police leadership included leading by example, consultative communication, development of followers, recognition, motivation, fairness, flexibility, and integrity.

Leaders need to encourage strategic thinking and problem-solving, which should not be reserved for senior executives. Leaders need to cross boundaries, encourage diversity, and encourage self-leadership skills where the message is that leadership can be displayed at any level of the organization. Police organizations have historically been autocratic bureaucracies, which may be understood in the context of paramilitary function, e.g., the use of physical force and working in crisis situations. In the context of a legalistic society (and frequently institutions), this is characterized by suspicion of the police.

It is now necessary for police leaders to move forward. Otherwise the next generation of leaders will be unprepared to meet the challenges of policing a dynamic and pluralistic society.

The Challenge of Transforming Leadership

As discussed previously, leadership is an activity, it is relational and it is visionary, where followers are motivated to work together to achieve a common goal. Important: this definition does not restrict leaders to those in formalized positions (such as sergeants in a police department or supervisors on a job site) nor does it restrict leadership to those in positions at the top of the organizational hierarchy (such as the chief of police).

Rather, anyone who influences another to achieve some goal, regardless of how minor or insignificant, is exhibiting leadership. For example, say you want to watch the Super Bowl on your friend's widescreen, high-definition television, but your friend wants to go fishing instead.

If somehow you are able to persuade your friend that the Super Bowl is a better option, you have exercised leadership in that you influenced your friend's behavior and objectives. Given this definition, everyone exercises leadership in some way, at some level, and must bear responsibility for the way in which the influence was exercised and its consequences.

What Does Ethics Have to Do with It?

Leadership obviously occurs along a continuum, from subtle persuasion in a social setting to formal orders in a hierarchical organization (such as the military or law enforcement agencies), to

unconditional control in a crisis (such as commands from an Emergency Response Team commander).

This influence continuum may also be understood in terms of power; whenever a person exercises effective influence over another, he or she also exercises some form of power or control. Although often seen in a negative light, this (incorrectly) assumes that “power” and “control” are the result of coercion rather than cooperation and consent.

*The beginning of wisdom
is found in doubting; by
doubting we come to the
question, and by seeking we
may come upon the truth.*

Pierre Abelard

When an individual defers to another person, however—even on the most minor level, such as voluntarily agreeing to watch the Super Bowl rather than go fishing—that individual is giving up a certain degree of personal autonomy. What justifies this relationship is that the act is voluntary (based on informed consent, cooperation, and shared goals) as opposed to an act that is involuntary (based on coercion, deception, and arbitrary decision-making).

As well, the exercise of influence is accompanied by a corresponding level of accountability, which is owed in any relational context characterized by openness and respect for the dignity and rights of others.

Leaders become important decision-makers for the group because they make decisions about what is a worthy objective and how it should be achieved. Notably, the degree of responsibility that falls to a leader is a function of the ability to influence others, the value of the objectives and goals, and the ultimate results.

Such responsibilities, made real only when there is accountability, can take numerous forms, such as in financial accountability, e.g., budget, performance measures, and other organizational achievements.

Today there is a growing recognition of a leader’s ethical responsibilities, especially in government, e.g., federal employees in Canada, and also in business, e.g., Enron, which necessarily occurs when a person exercises power over others on matters of critical importance.

It is easy to see how police officers and other professionals such as doctors, nurses, teachers, and politicians fall into this category; members of these professions have the ability to exercise independent discretion on matters that have critical importance to the lives and well-being of others.

A distinguishing characteristic of the relationship between the professional and his or her client is that it is unequal on some important dimension. Because of advanced education, training, and certification in a specialized field, e.g., education, medicine, law, and public safety—and because the client has need of a service in that field—the client finds himself or herself in a position of dependency, while the professional is in a position of authority.

This is why practical ethics plays such an important role in the professions because it provides the rationale for the unequal relationship and a personal assurance that the best interests of the client will be maintained. The leader-follower relationship is similarly unequal,¹² but different in that inequalities often exist on any number of important dimensions.

*It's so simple to be wise.
Just think of something
stupid to say and then
don't say it.*

Sam Levenson

For example, in the employment context, executive managers make significant decisions about operations, budgets, wages and benefits, promotions and transfers, downsizing, etc., where employees find themselves in positions of dependency with the employer for not only their livelihood, but also their quality of life.

When an unequal relationship exists, especially when there is a corresponding level of dependency, respect for individual autonomy, i.e., dignity, requires justification on moral grounds, compared to financial, pragmatic, or other grounds, although overlap generally occurs.

This is so because any coherent theory of ethics,¹³ at minimum, depends upon the principle of equality (Rachels, 2003, 13–15; Vlastos, 1970, p. 86).

According to Wasserstrom (1970), “The principle that no person should be treated differently from any or all other persons, unless there is some general and relevant reason that justifies this difference in treatment, is a fundamental principle of morality, if not rationality itself” (p. 103; see also Rachels, p. 89).

*These days people seek
knowledge, not wisdom.
Knowledge is of the past,
wisdom is of the future.*

Vernon Cooper

It follows, then, that you must acknowledge that the welfare of others is equally as important as your own, which is the crux of ethics. It is this fundamental principle that allows theories of goodness and justice to become practical in the real world and is the standard against which ethical judgments can be made.

It follows, then, that the practicalities of leadership necessarily entail a question of ethics.¹⁴ It is on this point that Transforming Leadership (and “transformational” leadership)¹⁵ differ from

¹² This is especially true in transactional relationships, where the relationship is based on some form of exchange, e.g., wages for labor, but is also true for transformational and transforming relationships. More will be said on these points later in the chapter.

¹³ Equality is essential to justice, which is simply a feature of morality. This was pointed out by Aristotle in *The Nicomachean Ethics* (1998, p. 112, Ross, trans.), who argued that justice may be understood in terms of equality; see also Vlastos, 1970, p. 76). Simply put, on a theoretical level, ethics is based on the basic and primary premises that we are rational moral agents and therefore accept that the welfare of each individual is equally important and no less important than our own. On a more practical level, justice requires that we treat each other in a manner that is consistent with these premises and that has special application in the public sphere. If we act contrary to these principles, justice also provides a framework for fairness—procedures and rules, i.e., the principles of “natural justice,” whereby the ethical balance may be restored on substantive grounds. Within this framework are found distributive justice (equitable distribution of social “benefits”), procedural justice (fairness), and corrective justice (conceived in terms of retribution, rehabilitation, and restoration, which are not always compatible).

other major theories of leadership. Transforming Leadership stands out because it recognizes the ethical dimension of true leadership.

This may come as somewhat of a surprise, but other leadership theories have failed to address this issue and so miss the most important dimension in life, which was pointed out by Socrates in 390 BC—how we ought to live.¹⁶

Leadership theories that do not take into account the ethical dimension of leadership often find themselves in difficulty when confronted with famous “leaders” who have been notoriously immoral, such as Adolph Hitler, Joseph Stalin, Benito Mussolini, Idi Amin, and the like.

This moral dimension was not lost on Machiavelli, but he was not concerned with how a prince ought to lead, but rather how to secure and retain power while all the time appearing to be virtuous.

The solution to understanding leadership is found in ethics, where true leaders like Hugh Thompson are distinguished from Machiavellian opportunists and from criminals. Opportunists like those from Enron take control by manipulating others and taking advantage of circumstances to advance their own interests. If there is a benefit to others, it is only coincidental.

On the extreme end of the criminal continuum, political criminals and thugs—like Iraq’s Saddam Hussein, Uganda’s Idi Ami, and Yugoslavia’s Slobodan Milosevic—seize control by fear and violence, taking advantage of the weak and vulnerable through coercion, force, and deception. And similar to opportunists, their purpose is personal gratification and enrichment.

In contrast to opportunists and criminals, who “rule” over others, ethical leaders such as Mother Theresa, Martin Luther King, Winston Churchill, Terry Fox, and Roméo Dallaire¹⁷ “engage”

¹⁴ Ethics and morality can be and often are used synonymously. More correctly, though, “morality” refers to the concept of what is “good” (which includes justice, right behavior, and virtuous character) *vis-à-vis* what is “bad” or “evil” (which includes injustice, wrong behavior, and corrupt character). “Ethics,” on the other hand, provides the theoretical framework in which “goodness” is understood, such as utilitarianism (the greatest good for the greatest number), formalism (universal principles), and virtue theory (integrity of character). By extension, practical ethics translates such theories or frameworks into everyday practice, answering questions like, “Is it bad to cheat on a tax return?” Practical ethics, by definition, includes professional ethics, which is simply the study of those matters or issues of moral interest that are unique to a particular profession, such as the use of force in policing, confidentiality in law, and consent in medicine.

¹⁵ The differences between Transforming Leadership and Transformational Leadership are probably more theoretical than practical and are relatively unimportant to the current discussion. These differences, however, will be briefly addressed in the next section.

¹⁶ Plato, in his classic essay, *Republic*, quoted Socrates as saying, “We are discussing no small matter, but how we ought to live.”

¹⁷ The Canadian general who tried to stop the slaughter in Rwanda, detailed in his book (2003), *Shake Hands with the Devil: The failure of humanity in Rwanda*.

others by providing a shared vision to better the human condition, both individually and socially. This is true leadership—it is “transforming” leadership that is distinguished from opportunistic or criminal “ruler ship” and, as such, rises above the theoretical and practical difficulties of distinguishing between Gandhi and Mussolini.

Transforming Leadership is Ethical Leadership

Wisdom is the reward you get for a lifetime of listening when you'd have preferred to talk.

Doug Larson

Given this, true leadership, regardless of the level or occasion in which it occurs, assumes ethical responsibilities (or ethical burdens) and requires ethical competence. When such leadership occurs, leaders and followers work together as a team in achieving shared goals and objectives.

Leaders have a greater degree of influence on the group because they are engaged in providing direction; planning strategies; coordinating activities, resources, and logistics; and creating functional relationships between and among members of the organization.

Followers, on the other hand, take greater responsibility for implementing strategic plans, managing day-to-day operations, and completing the tasks that are essential in achieving the goals and objectives of the organization (group).

Within any set of coordinated activities, it is easy to see how leadership occurs at all levels and is, in fact, necessary if the organization is to progress toward a shared vision or common goal.

Transforming Leadership is ethical leadership because it assumes that the level of moral accountability, i.e., on what is good, right and just, is positively related to the level of leadership or influence a person holds. More particular, anyone who intends to influence another to act in a specific way to achieve an identified objective is morally accountable for:

- the way in which such influence was exercised; and
- the foreseeable consequences.

Transforming Leadership is ethical leadership because it assumes that the level of moral accountability, i.e., on what is good, right, and just, is positively related to the level of leadership or influence a person holds.

This is a fundamental principle in law, as well, where it is not necessary that the principal offender actually commit the act in question to be held criminally culpable.¹⁸ Moreover, in formal organizations that officially designate positions in authority, e.g., a police sergeant to the chief of police, it can be argued that rank or position increases responsibility exponentially.¹⁹

¹⁸ As well, criminal law requires a person to be “sane” if he or she is to be culpable; similarly, ethical theory requires a person to be “rational” if he or she is to be responsible.

¹⁹ It should be noted that it is part of the human condition to obey those who are in authority, which was demonstrated in the now famous experiment by Stanley Milgram (1974). This also increases the level of responsibility that “formal” leaders need to accept.

'Transforming Leadership accepts this moral responsibility (and is, in fact, inherent in its definition) and so is primarily concerned with the shared goals of the group and the development of those individuals who make up the group.²⁰

Interest in the transforming approach to leadership started with R. J. House's (1976) theory on charismatic leadership and with James McGregor Burns' (1978) book, *Leadership*. Burns, a former presidential advisor and academic, stated that Transforming Leadership "occurs when one or more persons engage with others in such a way that leaders and followers raise one another to higher levels of motivation and morality" (p. 20).

Transactional leaders (who are more properly defined as managers) focus on the exchange of negotiated goods or benefits, which is based on a *quid pro quo* interaction, e.g., punishment-reward transactions. Such leaders are also accountable on ethical grounds, but Transforming Leaders focus more on equality, justice, and serving the greater good, which are fundamental values of a liberal democracy.

Burns' work was followed up by Bass (ref. Bass & Stodgill, 1990, and Bass, 1996), who altered Burns' concept of Transforming Leadership with the related concept of "transformational" leadership. Transforming Leadership focuses on a reciprocal relationship where leader and follower "raise one another to higher levels,"—where even the leader-follower roles become blurred.

True leadership therefore promotes human dignity in that it recognizes each person for his or her inherent worth and respects each person's fundamental rights.

On the other hand, Transformational Leadership focuses on the leader molding or transforming the follower, albeit to higher levels. As such, the relationship is more "one way" (Miller, 2004, p. 40). As noted by Johnson (2001, p. 123), Bass and his colleagues found that Transformational Leaders set high standards, create vision, and create learning opportunities for everyone involved in the organization.

The influence exercised by true leaders, whether transforming or transformational, is without a doubt extraordinary—but rather than attempting to "get their own way," their purposes include motivating others to achieve personal growth, reaching beyond the ordinary and accomplishing great things.²¹

True leadership therefore promotes human dignity in that it recognizes each person for his or her inherent worth and respects each person's fundamental rights. As such, it is consistent with

²⁰ Note that Transforming (and transformational) Leadership can be classified as a "normative" leadership theory in that it prescriptive—it describes how leaders *ought* to act (see Ciulla, 1995). As such, Transforming Leadership, by definition, is ethical leadership.

²¹ As previously noted, although there seem to be clear conceptual differences between transforming and Transformational Leadership, the distinction in practice is not so clear and very likely unimportant to the practice of ethical leadership.

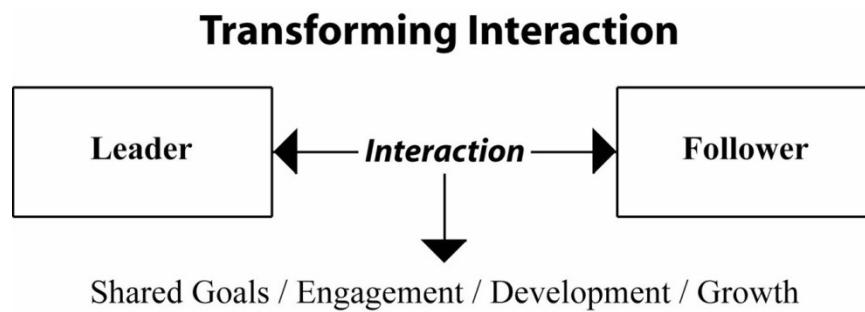
the constitutional principles of a liberal democracy and cannot be ignored on either an organizational or individual level.

The Practice of Ethical Leadership

On a theoretical level, Transforming Leadership assumes that the transformation is mutual and reciprocal, the result of interaction that focuses on the relational where the leader is transformed as well as the follower. Such a theory does not depend on an invariant hierarchy, but rather on a relationship in which the follower can assume a leadership role and the leader a follower role, as illustrated in the figure below.

This relationship resembles the servant-leader framework that also has ethical overtones in that the leader takes on a nurturing and service-oriented role (Greenleaf, 1970). As such, servant-leader theory overlaps with Transforming Leadership theory but is more singular in its focus, whereas transforming theory provides a more complete and comprehensive framework in which to understand leadership.

Transforming Interaction between Leader and Follower



Organizational Culture

On a practical “on the ground” level, transforming and Transformational Leadership is the combining of the pragmatic, e.g., transactional with the moral—the efficient with the good—making it an ethical imperative for any organization.

The values of the leader, as the most influential person in the organization, are going to be reflected in the organizational culture.

A lot has been said by consultants and academics about the “culture”—otherwise known as the “climate” or *ethos*²²—of an organization and the role of the leader in its evolutionary process.

Organizational culture is difficult to define (but easy to recognize) and so is best understood in terms of objective indicators, which include:

- levels of shared values;
- acceptable behaviors;
- respect for persons;
- respect for property;
- service delivery;
- commitment to duty;
- sense of fairness, e.g., in personnel matters, training, and development;
- individual recognition, e.g., in ceremonial functions, two-way communication;
- sense of belonging, e.g. inclusion, organizational pride and loyalty; and
- accountability.²³

Notice that the variable “morale” was not included. Although it is in part a function of the factors noted, morale is an ambiguous construct that is not only often misinterpreted, but also easily moderated by moods and insignificant events and, as such, is an unstable and unreliable indicator.

The purpose here, however, is not to get sidetracked theoretically, but to point out the importance of organizational culture and the corresponding role of leadership in shaping it. A good explanation of leadership responsibilities is found in law, specifically criminal law, the principles of which are very instructive here due to their practical application (in assessing corporate liability).²⁴

For example, Canadian statutes (and those in other countries, such as the United States and England) specify that corporations and other collective entities are “persons” and can act with intent, making them moral agents who are then responsible in the law. The weakness is that the statutes do not provide the practical means to determine how such liability falls to corporate entities. The courts have helped to resolve this problem, deciding that moral agency is found in the organization’s structure, policies, and procedures.

²² Of interest is the word “ethics” comes from the Greek word *ethos*, meaning the culture or character or sentiment of the community.

²³ In an assessment of corporate culture, one could integrate these factors into an anonymous multiple-choice format survey and administer it to all employees or a random sample. More will be said later about the utility of surveys in assessing the ethical climate specifically.

²⁴ For a comprehensive yet readable review, see Gerry Ferguson (1998), who delivered a paper on corruption and corporate liability to a seminar in Vancouver, BC, Canada.

The easy way, of course (that the courts have followed in the past) is simply to assign corporate liability to the respective executive managers. The courts, however, have historically developed the legal theory of the “directing mind,” referring to those persons who represent the collective “will” of the organization—the “very ego and centre of the personality of the corporation.”²⁵

It is not difficult to apply the idea of the “directing mind” to leadership theory. In law, the “directing minds” are identified and then held responsible for corporate misconduct, a conclusion justified by the influential role they play in the organization.

As previously discussed, such leaders make effective decisions on organizational structure, promotional systems, policy, discipline, transfer, budgets, and so on. Together, these factors constitute the essential structure of any organization and so it follows that its leaders are responsible for the corporate acts of the organization.²⁶

It is therefore incumbent on leaders to assess their respective organizational cultures—not only formally, for example, by auditing official policies and procedures, but also informally, by examining “on the ground” practices and behaviors.

Take, for example, the Queensland Police Service (QPS), Australia, where Ede and Legosz (2002) of the Crime and Misconduct Commission describe how they use a simple survey method to monitor the ethical climate of the QPS (similar to that developed by Klockars, *et al.*, 2004).

Since 1995, the QPS has regularly administered this survey (which consists of multiple choices for realistic ethical scenarios), to track changes over time and respond appropriately as an organization. For example, one of the questions asks whether the respondent would report on an officer who struck a youth who had assaulted another officer during an arrest.

The principle here is quite simple and can be illustrated metaphorically. When working with chemicals that are sensitive to heat by becoming either unstable or volatile, you check the temperature on a regular basis with a reliable and valid instrument—you don’t ignore the situation and you don’t guess about the temperature if you want to survive the experiment.

It is no different with police or law enforcement organizations or any other organization, where people are very sensitive to changes in the organizational climate and react accordingly.

²⁵ This doctrine began in England but has been adopted elsewhere. In Canada, the referent cases are *R. v. Fane Robinson Ltd.* (1941), decided by the Alberta Court of Appeal and *Canadian Dredge & Dock Co. Ltd. v. The Queen* (1985), decided by the SCC.

²⁶ One has to look no further than Enron to find out how critical this point is. Similar examples can easily be found in police departments around the world, e.g., the Los Angeles Rampart scandal.

To check on the ethical climate in their organizations, leaders can easily obtain permission to use (or adapt) the QPS or Klockars (2004) survey instruments in their own organization or, based on the research, construct a new survey.

The point is that if you don't take steps to assess your organization's culture, regardless of the dimension of interest (whether corporate ethics, hiring practices, policies and procedures, high risk activities,²⁷ etc.), you are taking a risk, where unknown threats may take root and grow and eventually destabilize your organization and even destroy it, if it involves serious issues of organizational integrity, e.g., see Arthur Andersen, the accounting firm convicted of obstructing justice in the Enron scandal.

This leads us to the organization's strategic plan. If a leader could pick one activity (remember: leadership is an activity, not a position) to effect change on an organization's culture, it would be the process of developing an organizational strategic plan and following through on its implementation. The purpose here is not to analyze strategic planning, but to highlight its importance to leadership and for Transforming Leadership to highlight the importance of a process that engages leaders and followers in its development and implementation.

If an organization does not identify its vision, mission, and values,²⁸ along with key initiatives, how is anyone to know what they are? How can anyone be held accountable beyond a technical job description, if one even exists? Failure to develop a strategic plan will produce a vacuum that will be quickly filled by organizational threats such as unidentified risks, destabilization, service anomalies, unethical behaviors, and increased levels of sub-cultural activities and influence.

By following through on implementation and evaluation, a strategic plan becomes the heart of the organization – giving life to its structure, policies, procedures, services, and culture.

By formally identifying an organization's mission, vision, and values (through a process that on some level engages everyone in the organization) consensus can be achieved. Surveys and other opportunities for input can be instrumental in reaching consensus. By following through on implementation and evaluation, a strategic plan becomes the heart of the organization—giving life to its structure, policies, procedures, services, and culture. It will standardize operations on all levels and enhance organizational integrity.

²⁷ All “good” leaders are “risk managers,” such that they put systems in place to recognize and identify threats to their organizations, write policy and create strategic plans in response, and take objective steps to ensure that the response is implemented.

²⁸ Transforming Leadership requires that such values are ethical, which ought to underpin every action in the organization. As part of articulating organizational values and institutionalizing them, the process of developing a code of ethics or similar ethical framework and integrating it into operations, e.g., operational plans and performance appraisals, will communicate expectations on an inspirational level that go beyond policies and procedures, which generally communicate expectations on a more *quasi* legalistic level.

Leadership Style

There are many examples of world-renowned Transforming Leaders. We have mentioned a few—such as Martin Luther King, Mother Theresa, and Terry Fox—and there are many others that we have not mentioned, such as Gandhi and Rosa Parks. It is easy to see how these people fit the definition of true leaders—they were change agents—highly influential and visionary.

In addition, they are still role models of Transforming Leadership in that they provide practical examples of ethical leadership. Such examples do not reduce Transforming Leadership to “trait” theory, where leadership is understood in terms of inherent personal characteristics, as in the “born leader” (see Northouse, 2004, and Bass and Stogdill, 1990). Rather, these examples show what Transforming Leaders do—how they exercise leadership in the real world.

For example, it is not difficult to brainstorm a list of indicators that together help understand the practice of true leadership as opposed to Machiavellian foxes or outright criminals who subvert the leadership process, as indicated in the table below.

True Leadership vs. Rulership

Leadership	Rulership
Lead	Rule
Show	Tell
Recommend	Direct
Engage	Command
Collaborate	Control
Encourage	Coerce
Ask	Order
Trust	Suspect
Share	Own
Communicate	Propagate
Educate	Punish
Comply	Require
Agree	Force
Persuade	Deceive

Principles of Ethical Leadership

These indicators are underpinned by ethical principles that inform and guide the daily practice of Transforming Leaders (see Northouse, 2004, p. 302, and Johnson, 2001, 122–25). To facilitate learning, I have structured these principles into six categories that form the acronym CHAIRS. CHAIRS was selected as an acronym because the organizational meeting, especially in a formal setting, is a microcosm of social relationships and interaction and so is instructive for observing the “activity” of leadership.

Everyone can recall meetings where the chair was a tyrant who controlled the agenda, dominated the proceedings, belittled the ideas of others, bullied the participants, and used the position of chair and its formal authority to achieve his or her own objectives. Participants avoid such meetings because, at best, their voice is not heard; at worst, it is a demeaning experience and the results have been predetermined by the chair.

On the other hand, everyone can recall meetings where the chair was a facilitator who maintained order by informally applying *Robert's Rules of Order* (with discretion), ensured participants remained on task by following a more flexible agenda, encouraged maximum participation by engaging everyone in the discussion, and achieved meeting objectives by gaining individual commitment and voluntary participation.

Principles of Ethical Leadership: CHAIRS

Courage
Humility
Altruism
Integrity
Respect
Service

Some of these principles are more aptly described as contingent “virtues” in that, by themselves, they have no practical meaning and no particular moral value. For example, courage is a virtue that has meaning only when the activity of interest is explained by the circumstances in which it occurred. Specifically, the act by itself may be the same, e.g., flying helicopters, but the circumstances allow a person to decide whether or not the act was courageous, e.g., flying scout helicopters in wartime.

Moreover, circumstances and purpose influence a moral judgment. For example, flying scout helicopters would be judged as courageous and good if done in the context of a “just” war or if the purpose were humanitarian, e.g., Captain Hugh Thompson at My Lai.

On the other hand, if flying scout helicopters occurred in the same context but the purpose was to conduct rogue missions and kill innocent civilians (which is also contrary to the Geneva Convention), the act would be judged as immoral.

*Then there is courage.
Although a contingent virtue,
it is essential to the practice
of true leadership.*

Loyalty is another similar virtue—by itself, it is not necessarily virtuous or moral, but is contingent upon circumstances and purpose for its moral validation, e.g., loyalty to Hitler as opposed to Mother Theresa.

Consequently, it is important to consider these principles together rather than in isolation, because all must be present in the true leader.

Honesty goes to truthfulness, forthrightness, and avoiding deception and lies.

Altruism goes to true charity and a selfless concern for the welfare of others.

Integrity goes to character, where ethical principles are reflected in personal traits, which in turn are consistent with behavior.

Respect—recognition that the rights of others are equally as important as your own—goes to the core of ethics and is not contingent upon circumstances or other external validation. Respect is central to any theory of human dignity and rights and, in the words of Immanuel Kant, is a “categorical imperative.”

Service is related to altruism but, in the context of leadership, goes to the dedication of a person’s time and effort to improving the lot of others, whether formally within an organization or informally on a social level—locally or internationally.

Then there is courage. Although a contingent virtue, it is essential to the practice of true leadership. An upright individual can support ethical behavior, live a moral life, and respect the rights of others, but only a true leader will stand up publicly in the face of adversity, personal danger, and derision and fight for what’s right, especially where personal loss is inevitable.

Again, Hugh Thompson is an example of moral courage and leadership—everyone else in the air and on the ground was witnessing the same slaughter, but only he and his crew made the decision to protect the villagers of My Lai and, by doing so, changed the course of history.

While generally police and law enforcement do not operate at that level and experience the same physical risk, there should be no doubt that the exercise of moral courage within a policing organization can sometimes come with significant personal and professional cost.

It is not difficult to see how the principles of ethical leadership (CHAIRS) are important to the decision-making process. In any decision, there is at least the potential for an ethical issue; the priority that a leader gives to ethical principles will affect the outcome. The choices leaders make are on some level informed and shaped by ethics (or its absence) and the decision-making model that is applied at the practical level.

For example, to illustrate levels of decision-making, let’s consider how you might approach the decision to speed or not speed while driving a vehicle. If deciding primarily on an intellectual level, the decision not to speed will be based on physics—such as momentum, drag factors, the road condition, and the predicted driving habits of others using the roadway. At this level, if a person wants to achieve the objective of getting from point A to point B, he or she will follow the rules and maximize the probability of success.

If deciding primarily on a prudential (self-interest) level, the decision not to speed will be based on those factors that most affect the individual's personal interests. There can be a number of explanations here because the decision is basically subjective, but could include any combination of things like not wanting to get a speeding ticket, not wanting to get into an accident and losing a safe-driving insurance premium, not wanting to get hurt, and wanting to achieve the destination objective.

On a pragmatic level, a person's decision will be based on a combination of intellectual and self-interest levels—whatever works in achieving the objective determines the course of action at the time. Here, if there are immediate and pressing considerations in achieving a particular objective, the individual will likely weigh the risks of breaking the rules with the payoff or anticipated results.

On a moral level, however, the focus changes—the decision not to speed is based primarily on a consideration of the welfare of others. The individual chooses to obey posted speed limits—not to avoid a speeding ticket, higher insurance premiums, or achieving the objective, etc.

Rather, the person decides not to speed because of a recognition that the rules of the road exist for public safety, where everyone can achieve his or her personal objectives while respecting the rights of others to travel on the roadway. This is a principle-based approach, but the same argument can be made on utilitarian grounds, where a person acts for the greatest good for the greatest number.²⁹ The principle-based approach also recognizes there may be limited times when the rules don't apply, such as in circumstances of necessity, (which is also recognized at law).

For example, a person might speed to the hospital because his or her child is hemorrhaging and there are no reasonable alternatives, such as calling an ambulance, but even here, there are limits to what would be considered a reasonable exception.

The Five-Step Decision-Making Model

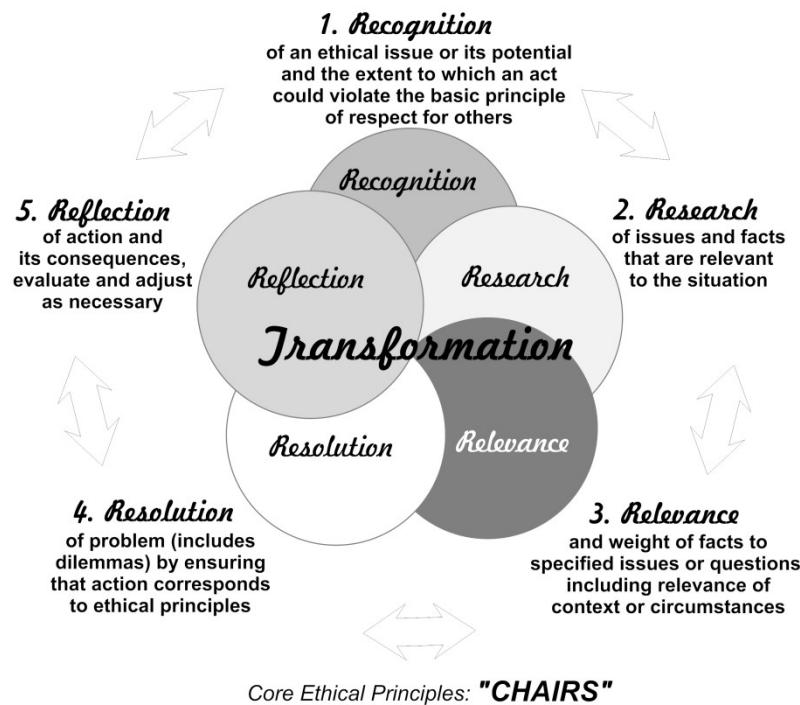
On a practical level, it is good to consider an appropriate ethical decision-making model. Chapter 5 in this text presented a problem-solving model that can easily be adapted to ethical problems because of its analytical approach, which underpins good decision-making because it can be reasonably justified to others.

²⁹ A person could get into a discussion of theoretical models (alluded to in a previous footnote) but that is not the purpose of this chapter. A word of caution here: it is very dangerous for a professional to act on what he or she "believes" are utilitarian grounds, the reason being that what the individual believes qualifies as "the greatest good for the greatest number" may not be supported by others. The preferred standard is the "principle-based" approach, consistent with that found in professional codes of ethics for police and law enforcement, documents by the United Nations on human rights, and democratic constitutions, all of which are fundamentally based on the principle of respect for the rights and dignity of others.

As illustrated in the figure below, there are five steps (the 5 Rs) of ethical decision-making.

- Recognition**
- Research**
- Relevance**
- Resolution**
- Reflection**

The ethical decision-making model presented here is analogous to the legal decision-making model, making it applicable to the context and situations in which police and other law enforcement officers often find themselves.³⁰



For example, for effective law enforcement it is necessary first to be able to identify a breach of law (such as an assault) and the extent of the breach and the type, e.g., causing bodily harm. This is no different than in ethics, where it is first necessary to recognize the breach (such as deception) and the extent of the breach and the type, e.g., causing the court to be misled.

³⁰ For more discussion on ethical decision-making models, the reader is referred to *Ethical Reasoning in Policing, Corrections, and Security*, Evans and MacMillan (2003).

The difference in ethics is that it is primarily preventative and, as such, the focus is pro-active rather than reactive. For example, the goal is to prevent perjury and so avoid the wrong act and the harm caused to others.

Another important distinguishing feature is that in ethics, there can be real or apparent conflicts between principles. For example, your mother-in-law brings home a new hat, which she puts on and proudly models for you.

You know right away that you don't like the hat because you think it looks like a bird's nest. When your mother-in-law asks you how she looks in her new hat, do you lie and tell her how good the hat looks on her (which shows concern for her feelings) or do you tell the truth about what you really think (and risk hurting her feelings)?

This is the classic ethical dilemma; its resolution requires a careful prioritization of relevant principles, along with the harm or potential harm that may be caused to others. This is addressed in the third and fourth R's (relevance and resolution) and includes a consideration of context and circumstances.

In the rule of law context, a legal framework must be applied where the rules of evidence are followed to determine if an accused is guilty of breaking the law, e.g., assault. In the moral context, an ethical framework must be applied where the rules of logic are followed to determine if there is a potential (or actual) breach of ethical principles, e.g., misleading the court or even perjury.

These examples suggest there is a great deal of overlap between law and ethics, which is as it should be.³¹

Finally, it is important to justify the action, which is persuading reasonable persons (such as a jury or the jury of public opinion) that the decisions and corresponding actions were correct, on legal or ethical grounds or preferably both.

Concluding Comments: The Next Challenge

True leadership, defined by its ethical core, is transforming for the leader and the follower alike. It follows, then, that Transforming Leadership transcends other forms of leadership because it is committed to "doing right things" as opposed to "doing things right."

As previously discussed, doing what's right has a great deal to do with moral courage. In a recent scientific study, Miller (2004) explored the relationship between Transforming Leadership and moral development.

³¹ Notably, in the final analysis, it is the law that will be judged by ethics, not ethics by the law, as was the case in the Nuremberg trials.

By using Anderson's *Leadership Skills Inventory* (1993)³² and Kohlberg's *Defining Issues Test* (1969, University of Minnesota, 2002) on a sample of managers, Miller found that stage 6 of Kohlberg's moral taxonomy—the highest and most principled stage—was significantly correlated with Transforming Leadership.

Miller's (2004) study has demonstrated that levels of leadership are related to levels of moral development. The following table illustrates how this might look in practice. This framework shows that leadership can be defined and understood by a corresponding level of moral development and that the next challenge is to move beyond the transactional and conformist (conventional) stage to the principled stage. At this stage, leaders have the courage to act on their convictions and conscience,³³ even in the face of forbidding adversity and personal loss.

People living at this level, whether personally or professionally, are true leaders, not because they are born leaders or have the personality traits of leaders, but because they choose to do what's right and have the courage to act in a manner consistent with their convictions. That's integrity.

Relationship between Transforming Leadership and Moral Development³⁴

Moral Stage	Leadership Level	Interpretation
I: Pre-Conventional		
1. Obedience	Formal authority ³⁵	“Rulership”
2. Exchange	Transactional	Self-interest
II: Conventional		
3. Interpersonal relations	Transformational	Others considered
4. Social order and rules	Transformational	Fairness/duties
III: Post-Conventional		
5. Social cooperation	Transforming	Relations/rights
6. Universal principles	Transforming	Principles/justice

This conclusion takes us back to the beginning of the chapter, to the story of Hugh Thompson. Read it again, because the lessons it contains will now take on new meaning and significance—how 35 years ago, a scout helicopter pilot and his small crew of two had the courage to do what was right, regardless of great personal risk, unbelievable wartime stress, and entrenched military conventions.

By exercising ethical leadership, Warrant Officer Hugh Thompson transformed the lives of his crew, Larry Colburn and Glenn Andreotta.

³² T. D. Anderson is the editor and primary author of this book.

³³ See also Dwight D. Eisenhower (1965), for his thoughts on leadership and the role of courage.

³⁴ This typology is based on the works of Anderson (1993), Bass (1990), Burns (1978), Kohlberg (1969), Milgram (1974). The typology also draws on Crain's (1985) interpretation of Kohlberg's work, as well as Miller's (2004) synthesis of Kohlberg's moral stages.

³⁵ See Milgram (1974).

He saved and transformed the lives of My Lai civilians. He was instrumental in stopping Task Force Barker and likely saved the lives of hundreds of innocent civilians. He also likely saved other soldiers from committing horrible war crimes. He forced the US military to prosecute those responsible for the My Lai massacre and so brought some level of justice to the village.

The story of Hugh Thompson has made an incalculable difference on the lives of others and continues to touch and transform the lives of people who hear it today. This is true leadership.

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Part III

From Theory to Practice

9

Practical Application 1: Coaching a Leadership and Learning Organization for Continuous Improvement

Background of the Leadership and Learning Organization Model

Continuous improvement is the highest act of leadership.

John Kotter,
Harvard University

This model was in its formative stages between 1994 and 2000. Several police departments and businesses piloted the model and gave their input into its design so it would approximate reality enough to be implemented in practice. Therefore, the model remains a work in progress and can be modified to some extent to fit your own circumstances.

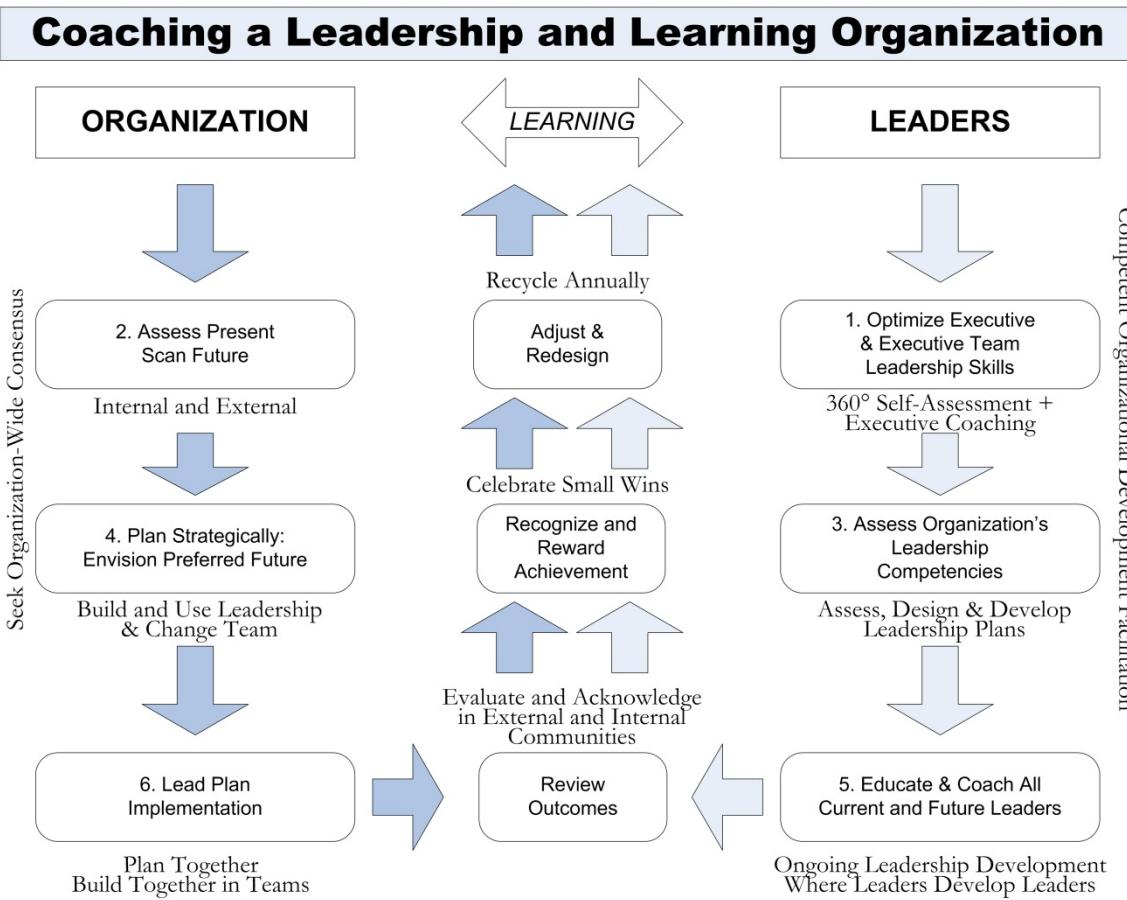
What we have found, however, is that leaders who want to skip one or more of the steps—or disregard one or more of them—experience a significantly lower implementation rate of their change plans or strategic plans. Each step in the model is foundational to the next; each step is based upon what we know to be best practices in organization development and change management.

Critical Success Factors for Implementation of the Model

Before you endeavor to launch this model, we strongly urge you to ensure that a competent organization-development professional or trained, experienced leader is given formal responsibility and authority to implement the model. Otherwise, day-to-day operational realities will interrupt and prevent this powerful process from being executed. The benefits of running your organization with these systems in place will not be fully enjoyed.

This practice and monthly review meetings are the critical success factors that differentiate learning organizations from those mired in operational realities and that cannot find the time or resources to work on their organizations to improve their performance and cultures.

A summary of the nine steps in the model is presented below. Presenting the steps in this way enables a quick assessment of the extent your organization engages in these nine best practices for organizational optimization.



Understanding the Nine Steps in the Process

Step One: Optimize Executive Competence and Executive Team Performance through Coaching and Facilitation

Two of the questions raised about this model might include, "Would this work in each and every organization? Would every senior leader even want to optimize his or her leadership skills and those of the executive team?" As you read through the execution of the process, you will see these questions are answered affirmatively.

Through assessment tools and executive coaching, executive and executive team-leader skills are developed and their practical execution in the work environment is enhanced.

But leadership is optimized not only at the top of the organization. After assessing leadership competencies applicable at levels, this model develops leaders throughout the organization, both present and future. This includes a coaching process that ensures leadership sustainability. When viewing the model, it is important to note it is based on the principle that “leadership is a process—not a position.”

When this step of optimizing the executive team is omitted or skipped, history shows the average executive team remains average; a team having difficulties will continue to have difficulties. Applying the theory that a chain is only as strong as its weakest link, the executive team’s credibility is about as strong as its weakest leader. Without individual leader development, this situation remains unchanged.

There is greatest success when working with team leaders willing to make the commitment to developing their own leadership competence and their organizations’ effectiveness, especially when the senior executive is leading and negotiating a clear path toward improvement and change, supported by most of the key leaders in the organization. The more resistance and denial, the more things stay the same (or get worse); those leaders less ready to change will have to deal with the extraordinary demands for change and unexpected circumstances that are on the horizon.

The importance of planning and, in particular, the use of strategic planning was covered earlier in this book. The high rate of implementation failure was noted. The primary reason that strategic plans do not get implemented effectively is that leaders at all levels are often deficient in one or more of the leadership skill sets.

Because most people are reluctant to face their deficiencies at first, the initial focus of this model is on recognizing and optimizing leader strengths. Then leaders work on one specific skill-deficit at a time, until only the skills that need to be strengthened are developed.

For example, good business managers (who are good at the task side of management) who don’t have well-developed team-leader skills do not execute optimally in the strategic arena. Once they are clear about areas where they excel (as perceived by self and others), they can build upon their strengths. Once they know their areas of deficiency, they can stop doing what does not work and do more of what does work.

This is why coaching is objective and fast; it cuts through much of the time often wasted in training that is not targeting the needed competencies. The leaders who face their skills deficits and capitalize on their strengths are demonstrating their willingness and ability to make integrity-based transformations in their leadership and in their lives. As well, they act as powerful culture-building models for the often less-experienced leaders in subordinate ranks.

Therefore, what has been found to work best to help leaders gain competence and confidence is skill coaching and action learning in the work environment, combined with focused and accurate

feedback. Action learning is a form of experiential learning where leaders work on the complexities of real-life problems in the workplace.

Holliday's research in *Learning in the Workplace* (2003) suggests that for adults, "Learning is best served by solving real-life problems with others." This is the most powerful combination of factors found to accelerate leadership development.

But this is more than theoretical speculation. Dr. Terry Anderson has taught and coached thousands of people in the development of leadership skills. Many of the executives coached had advanced degrees. Their feedback was they learned much faster and in a more applicable way through coaching around issues in their work and personal lives than they did from most of the courses they took during their university education.

Step One of the model can be enhanced by engaging in the activities outlined below. But before we examine this first step of the model, it is important to ensure that each executive coaching program is individually tailored so that executives and other leaders don't waste time and dollars taking courses or focusing in areas where work is not needed.

In doing executive coaching with senior level executives, however, experience has shown that some specific things "kick-start" the process and make "lights go on" for a large group.

These are first steps.

Assess Personal Style with the Personal Style Indicator (PSI)

<http://www.CRGLeader.com/everyofficer>

This assessment assists management team leaders to appreciate their style strengths, learn versatility, and work on difficult areas that their style profile reveals.

Assess Leadership Skills using the Leadership Skills Inventory (LSI)

<http://www.CRGLeader.com/everyofficer>

Five colleagues and/or subordinates can complete a 360° assessment on how they see a leader. That leader can then review his or her own confidential 360° collated results.

At a low cost, it is possible to design this existing list into an online feedback tool so that all feedback is confidential, developmentally focused, and based on individual learning targets. The LSI assesses the 60 skills outlined in this book, which often overlap with the competencies you would find in most official competency lists.

Set goals for leadership development, in consultation with a coach selected by the manager, to mentor or coach the learning process. This coach or mentor could be anyone qualified to serve in that role. This person could be internal or external, paid or unpaid.

Read the portions of this book that apply specifically to a leader's learning goals, to gain deeper theoretical and practical insight into their skill strengths and deficiencies and to learn how to better develop the skills they need now.

The most powerful thing about coaching is that leaders regularly—often weekly, sometimes daily—get to discuss and plan their own performance improvement around critical incidents that occur in their workplaces. And coaches are often available to leaders in their own work environment—and are willing to do specific skill coaching.

You just have to know precisely what skills you need to work on, then approach someone you respect—who is competent in the skill—to assist you to learn it. Or you can seek a more formal, longer-term relationship with a mentor with the kind of reputation and success you want to have. Ask that person to mentor you for a year or two.

One agency is bringing back retired employees to act as coaches for upcoming leaders who want to get ready for a promotional competition. This has worked extraordinarily well.

In addition to a weekly coaching meeting (in person or by phone), leaders sometimes choose to call upon their coaches' services as problems emerge, to discuss them immediately. Consultations may be necessary when executives are in the midst of facing crises in their workplaces.

Facilitators may be required to assist in the resolution of personnel issues to resolve executive team conflicts or dysfunction before morale gets too low—or to intervene in helping an executive team correct course in a difficult political situation of great significance. Executives report that this kind of *en vivo* learning in the workplace is the most powerful kind.

As individual executives on the executive team optimize their personal effectiveness as leaders through coaching and get the support they need to more professionally process the problems they encounter, the process moves into developing the functioning of the executive team itself. Specific team-development processes are available; they need to be used in conjunction with a skilled facilitator, either from inside the organization or from outside.

For example, executive teams can better learn how to make decisions and solve problems together by having a meeting that allows them to agree on the problem-solving model to be used. In this meeting, a trained facilitator assists the executive team members to come to consensus and become practiced at how they want to go about solving problems and making decisions together.

As a consequence of this developmental facilitation, management team meetings will become more effective, efficient, less frustrating, and more productive in achieving organizational objectives.

Step Two: Scan Internal and External Environments to Identify and Prioritize Organizational and Executive Team Concerns

A journey of a thousand miles begins with a single step.

Confucius

All too often, the concept of continuous improvement is based upon the perceptions of the most senior managers of the organization. In many cases, those issues most critical to the organization are obvious at lower levels but are not communicated to the management level.

This may be a cultural issue, where management is seen as having a policy of, “If I want your opinion, I will tell you what it is.” Or it may be an organizational behavior issue of filtering communications where supervisors or managers, not wanting to pass on unpleasant news, alter information to make it more palatable to senior managers. Regardless of the cause, it is imperative that continuous improvement be based on determining the most pressing issues for the executive team to consider.

One of the methods for scanning the environment is the Organizational Assessment Review (OAR). It is used to conduct a study of each organization’s needs and concerns. Interviews and focus groups can also be conducted.

The Continuous Improvement Team (CIT) is an informed source of information for organizations choosing to use it. This cross-functional team is established in each organization to review data from all sources before decisions are made about setting strategy regarding problems, concerns, opportunities, and threats revealed from the organizational reviews.

The Organizational Assessment Review can also be used by those who are external to the organization, to elicit feedback about how the organization is being perceived by those who do not work in it. This data is included in the final analysis and recommendations.

Both qualitative and quantitative approaches to this assessment process can be used. Also, an attempt is made to balance both qualitative information (through a Continuous Improvement Team review) and quantitative information (through a careful analysis of the relationship between the numeric data and subjective views of that data).

Based on rankings of the issues in this report, the Executive Team and Continuous Improvement Team move ahead into the strategic planning step of the process. The OAR includes a wide range of organizational best-practice areas, including planning, change, security, communications, technology, hiring, lifestyle, stress, performance management, and teamwork.

The OAR, however, can be custom-designed to fit the exact needs of the organization; it can be made available online for organization-wide or target-group input of data.

Step Two is not a one-time process. It must be an ongoing process, having both regularly scheduled reviews through meetings of a Continuous Improvement Team and the ability to respond as the environment dictates.

Step Three: Assessing and Agreeing on the Organization's Leadership Competencies

What is the definition of leadership? Read any book or article on the topic and you'll find "The" definition. If the truth were known, there is a definition of leadership for every person who every tried to define it. What is known is there is now sufficient study of the topic to determine a field of competencies generally recognized as appropriate to the leadership function.

It is also recognized that not all competencies are of equal importance in every organization. In other words, each organization must determine what leadership competencies are required AND the importance of each those competencies.

Once an entire organization agrees on an operationally defined, competency-based definition of leadership, which describes the behaviors and practices expected from leaders, then leadership development, managerial and supervisory performance management, and culture-building can and do occur simultaneously.

When an organization has agreed about its foundational leadership competencies—and does not have ways to make those competencies accessible and usable for assessment, feedback, planning for learning, performance management, succession planning, and career development—then the competencies get out of focus. Everyone gets busy and leaders just keep on doing what they have been doing and they keep on getting the results they have been getting.

Once agreement is achieved by an organization about what leadership behaviors look like, all leaders and prospective leaders have avenues for achieving competence through such methods as coaching, mentoring, and individualized leadership development plans that can include individual skill coaching sessions, courses, workshops, readings, and degree and certificate programs, etc.

The concept of the Corporate University is growing at a tremendous rate. This concept often involves the academic community and partnerships where credits toward academic credentials can be earned in the workplace. For example, many police organizations have worked out a way that supervisors and managers can receive academic credit toward degrees, when they engage in a wide range of programs to develop agreed leadership competencies.

Clarity about competencies also results in leaders experiencing a great sense of relief and enthusiasm from knowing what is expected from them, if they are to demonstrate successful leadership performance. The authors have completed this competency identification process with a number of police organizations, with similar experiences.

One city police agency developed a list after considerable consultation and research, internally and externally. All members of this policing agency, both sworn and non-sworn personnel, agreed these competencies were what should be expected of leaders at all levels.

They also agreed “everyone is a leader” of his or her own area. They utilized the competency list in their promotional process by using the results of 360° feedback to count for a portion of the points in the competitions.

The practice of identifying competencies at each level allowed those seeking promotion to evaluate their level of competence in those areas required at higher levels. Where deficiencies existed, they could take corrective action.

For many years people have been promoted to the next level based on their technical competence, rather than the interpersonal competence required at higher levels. Eventually a person reached a level where he or she did not have the requisite competencies. This is the basis of Dr. Laurence Peter’s famous Peter Principle. People had reached their level of incompetence.

Omitting this step can arrest the development of organizational culture and competence. Many problems are caused by vagueness and misunderstanding about what leadership is.

Step Four: Plan Strategically and Create Business Cases for an Improved Future

As the development of the leaders in the organization continues, the “business” of the organization must be managed. Primary among this is organizational planning. A full planning session with a management team can be accomplished in two days. The strategic plan can guide all business line managers, service line managers, and senior executives regarding what business cases might be most appropriate and effective to propose—to best implement strategic and operational decisions.

To make these decisions, the Continuous Improvement Team with the Management Team cross-functionally analyses and prioritizes various alternatives and options. Within the framework of an effective strategic plan, business case proposals help decision-makers evaluate the following types of decisions.

- Whether to offer a new service
- Whether to take advantage of an integration opportunity
- Whether to in-source or out-source
- Whether or not there is an opportunity to improve business processes
- Whether to upgrade, enhance, or build
- Whether to lease or buy equipment
- How to prioritize competing business initiatives or propose one

'There can be a monthly, ongoing Continuous Improvement Team review of the plan's implementation of business cases in meetings that take place 1 to 2 hours per month, with measurable outcomes that far outweigh the time and cost of the process.

In this process, ongoing leadership development happens on the job, while managers learn team-leadership and strategic planning and plan implementation skills.

And they are accountable to one another at the monthly implementation meetings. It is important that a person with high-level strategic and facilitation skills facilitates these meetings.

In hierarchical organizations, there is often a blind acceptance that senior people are automatically imbued with the necessary skills. The reality is that sitting at the end of the table does not make a person a facilitator. If necessary, an external facilitator should be brought in until such time as internal staff is trained to facilitate these sessions.

This may take up to a year. Supervisors who participate in this process learn how to design strategic implementation initiatives at their level with their teams and to report outcomes to management.

Step Five: Educate and Coach All Present and Future Leaders

The foundation of culture is set into place by leadership effectiveness; the organization's culture is built, arrested, or torn down based upon supporting this foundation with ongoing coaching and mentoring. This step of leadership development is often overlooked or sidestepped because of operational demands or budgetary limitations.

Or, some leaders presume leadership development has no relationship to leader, team, or organizational performance. Research on organizational optimization through leadership efficacy in the past 15 years has demonstrated the folly of these presumptions.

For a quick overview of some of the research that supports this contention, see Jim Collins' book, *Good to Great*, and the newest edition of Kouzes' and Posner's book, *The Leadership Challenge*.

Continuous Improvement Team (CIT) members engage in doing the work of solving internal organizational issues, leveraging unused opportunities, and building the organization while they develop other leader-skills through the team experience. Members of this CIT address various concerns, such as conflict resolution, mediation, and negotiation. These are recognized as basic leadership competencies.

At this stage, the CIT addresses the issue of identifying leadership competencies in its organization and makes decisions about the following:

- the level of competency required in the organization;
- the level of competency currently in the organization; and
- an individual leader's level of competency as perceived by others.

Developmental design occurs to match the organizational resources to the organizational need.

Facilitation: Planning, Problem-Solving, and Decision-Making

These are recognized as more complex leadership competencies. As well as a traditional training approach, the model envisions development of these skills through Leadership and Planned Change Teams, high-performance work teams, and other groups under the coaching and mentoring of organizational leaders.

This is particularly important in the development of strategic initiatives and the implementation of tactical action plans. This mitigates the requirement for outside interventions, except in unique circumstances.

Building and Sustaining Effective Teams

This flows from the Leaders' side to the Organization side of the model as effective leadership is developed. These leaders then champion the processes of scanning, business case planning, implementing, and evaluating the organizational initiatives through a team-based approach. There is emphasis on a consensus approach to planning and implementation . . . and learning.

Assessing Organizational Performance Problems and Recommending Appropriate Solutions

This is focused on the Leaders' side of the model where, through development and coaching, managers and supervisors become competent "performance managers." Where assessment under Step Two of the model identifies an organizational need for response to performance issues (performance management), collateral processes of planning interventions and internal development of staff occur.

Work Process Analysis, Improvement, and Redesign

This is a combination of the Leaders' and Organization side of the model. In the process of building leadership competencies, there is an opportunity for the practical application of new skills by managers and supervisors, each under the guidance of a coach and/or mentor. These skills are applied to the assessment of current processes, designing and implementing appropriate changes, and evaluating outcomes.

It is important to emphasize that although most people generally agree about the importance of the issue of leadership development, very few leaders in very few organizations have designed a

leadership development program that fits their needs. This has been found particularly true in the justice and public safety arena.

When they do, it is usually in the form of a separate training program brought on by the historical belief system that “training fixes everything”; the program is not a part of the culture-building process where competence is recognized and rewarded.

Perhaps more significantly, even fewer organizations have developed a leadership development program linked to leader selection, placement, performance management, and succession planning and career path. If you take leadership development seriously enough, it can become the primary strategic success initiative for any criminal justice or other organization.

Organizations can, by implementing a leadership culture as an organization-wide strategy, become a world leader in building-in continuous learning for continuous improvement.

Step Six: Lead Strategic Plan Implementation to hit Targets, Build Accountability, and Create Positive Work Environments

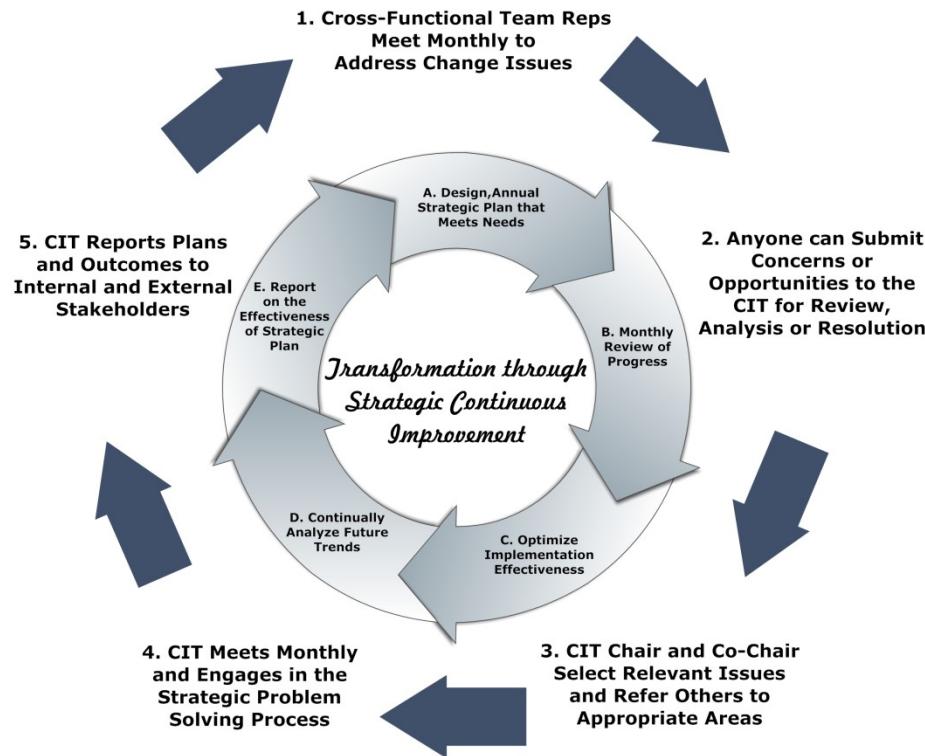
This sixth step is the make-or-break step for organizational success and continuous improvement. The Continuous Improvement Team, in collaboration with the Management Team, is the foundation of all strategic change, leadership development, plan implementation, and future trend management.

Regular monthly strategic-plan review meetings are scheduled and attended by all team members, selected executive(s), and occasional outside guests, as needed. The authors have found this team the most effective vehicle and learning environment for the development of leaders (*en vivo*). This is especially powerful when combined with professional coaching.

This model has been fine-tuned and implemented by agencies from corrections to police and business. The process of implementation has been tweaked by more than 20 organizations.

The following graphic is a representation of what they have learned and recommended.

Coaching the Continuous Improvement Team (CIT) Process To Build a Leadership and Learning Organization



Three Big Lessons Learned

These are three of the most important lessons leaders in these organizations have learned from implementing the above process.

1. A cross-functional team of credible, willing, caring, and capable leaders is necessary to succeed in managing and innovating positive change on a continuous basis.
2. The implementation rate of any planned change effort is heavily dependent upon the consistency of reviews of progress that occur at monthly meetings. Teams that meet at least monthly for 2 hours to review successes have greater than 85 percent implementation rates of their change plans. Teams that meet less often than monthly frequently fall below 40 percent implementation of their plans.
3. If the CIT can act as a problem-solving body and a strategic planning and review body, its effectiveness and credibility are exponentially increased. If the CIT is only an effective problem-solving agency, with no responsibility for planning for organizational strategy and change, its status in the organization will be “honorable servant” rather than the “honorable servant that is leading the way.” The latter has more power and influence to help management and all employees achieve a higher vision of the organization’s true potential.

Continuous Improvement Team-Development Guidelines

Purpose of the CIT

The primary purpose of the Continuous Improvement Team is to represent the concerns and ideas of everyone in the organization, regardless of title or position. It acts as a cross-functional advisory body to management. In some instances, it is given authority to resolve some immediate concerns revealed through anonymous surveys, suggestion boxes, or email submissions.

It is critical to remember the intent is to form a team that is, in many ways, self-directed. The level of authority must be commensurate with the tasks assigned. If CIT is hobbled by bureaucratic regulations in its attempts to gather information, it becomes the proverbial toothless tiger, serving no real purpose in the organization.

Selection of Team Members

Although management usually will select the initial team members based on agreed criteria and process, that is not always the case. In one major police organization, the mid-level manager who conceived the idea for the team selected the first team member who, in turn, assisted in the selection of the others.

There was no “management approval” in this case. Anyone can apply or be recommended if he or she meets the criteria. Each member will represent the views and perspectives of his or her functional area of the organization. Future selection of new team members will be through election by existing team members, with approval of management.

“Approval by management,” however, must be held to the highest standard of fairness and objectivity. For example, there was an attempt by a senior officer in a police organization to reverse the selection of a team member based on concerns the officer had with the worksite’s choice. The member had been selected by peers to represent their functional area.

Fortunately the senior officer took heed of the advice of the facilitator and let the selection stand. To do otherwise would have virtually destroyed any credibility established at this early time in the team’s development. The team would have been seen as hand-selected by management, for the sole benefit of management. Without organization-wide credibility, the team serves no purpose.

Size of the CIT

The size of the Continuous Improvement Team is dependent upon the size of the organization and the number of units in the organization. A primary purpose of the CIT is to ensure cross-functional representation from all parts of the organization.

Backups are individuals chosen to fill in for an absentee member when required. The backup member will attend all meetings in the event of “regular team member” absences. Backup team members may—if they wish and if they are qualified—become regular team members when other individuals leave the team. This may be a defined process, such as term of service or on an “as required” basis.

The primary rule in creating effective high-performance teams is to have as few members as possible but to ensure that the team possesses the necessary skills, knowledge, and competencies to deal with the team’s mandate.

The issue of representation also must be considered. A group within the organization that does not feel adequately represented is not likely to provide support when called upon.

Selecting a Chair and Co-Chair

Although the team does have management representation, experience has shown it is best if the team is not chaired by a management representative. The intent is to avoid the perception of “just another management committee.” There is generally more acceptance throughout the organization when there is a perception of greater responsibility in the team for non-management personnel. The Chair should be decided through an internal selection process and should be a rotating position.

Regular Meetings and Publishing of Outcomes

To function effectively, the Continuous Improvement Team must meet on a regular basis—preferably not less than once a month—to maintain consistency, drive, and accountability.

The team also needs to keep everyone in the organization informed of its initiatives, proposals, and successes. Teams have effectively used printed and online newsletters, town hall meetings, organizational Intranets, mail outs, and water-cooler briefings.

CIT Members are Credible Volunteers

One of the important factors in the team is that the members are volunteers. Each organization must deal with the issue of compensation. It may not always be possible for members to attend meetings during their normal working hours. This is particularly true of professions that have shift work.

It may be necessary for management to deal with labor union issues in relation to team membership. Whatever the issues, the effort to resolve them will return benefits that far exceed that effort.

Step Seven: Review Outcomes—Internally and Externally

Planning and managing change is a never-ending recycling process, as indicated in the remainder of the model and as reflected by the necessity of monthly review meetings. These recycling steps in the model are built on the concept of Continuous Improvement Teams. It acknowledges there is nothing more constant than change.

The “loop system” design requires constant evaluation, adjustment, and redesign, based on the development of both leaders and high-performance work teams within an organization. Teams that fail to review progress monthly have consistently poor implementation rates; team synergy falls to a low ebb. The review meetings are absolutely necessary!

To this point in the model, people in the organization have learned both the theoretical knowledge and practical skills to create and lead teams, assess and define critical issues, and plan and implement business cases for goal achievement.

At the Review Outcomes stage of the Continuous Improvement Process, the organization uses evaluative processes, including post-testing with previously administered instruments, to determine the level of goal achievement. These processes recognize that goal achievement has been stated in measurable terms. It will be necessary to ensure measurement tools are in place to continually track the information needed to evaluate the outcomes.

This is also the time for course corrections. There is sometimes a reluctance to change what has been created. This is based on a perception of “If we have to change it, that means we didn’t do it right the first time.”

*Nothing remains constant
but change itself.*

Unknown

This is a time of change—of constant change. It is the refusal to change that results in the failure to achieve meaningful goals.

Step Eight: Recognize and Reward Achievements

Continuous Improvement requires the acknowledgment of achievement. This feedback loop in the model responds to both the Leaders and the Organization side of the model. It acknowledges both the “I” and “we” of team performance. It recognizes the effective team-building that has occurred and the resulting accomplishments of the team. But it also recognizes the individual’s accomplishments.

Recognition is the acknowledgement of personal growth. It acknowledges that the leadership development that has occurred throughout the organization is beginning to pay off. Celebrating wins—no matter how small—demonstrates both progress in goal achievement and appreciation to those who contribute to organizational and personal goals.

Members of Continuous Improvement Teams consistently request that reward and recognition programs be individually tailored to maximize the chances that acknowledgment and appreciation are perceived as such by the recipient. They want to avoid the “give everyone a plaque” syndrome.

A good solution has been to have employees themselves generate a menu of optional ways to be rewarded and recognized for performance.

Step Nine: Adjust and Redesign

The last stage of the model recognizes the need to acknowledge the whitewater philosophy of organizational change. That is, change is constant. To remain operationally efficient, change must occur and fine-tuning must take place.

But more important is the learning that occurs with the application of the developmental process that occurs during Steps One through Six. The process is intended to develop a self-sustaining growth that requires minimal intervention from outside the organization, as learning leads to more learning.

In organizations that have implemented the continuous-improvement team concept, management has counted on the CIT Team to accomplish the following.

- Eliminate the lineup of people at their office door who want them to solve problems
- Identify the competencies critical for the success of leaders
- Develop leaders on-the-job while they are getting the job done of leading the CIT
- Be the “brain trust” in the design and implementation of strategy
- Analyze crime, environmental, and/or operational problems and future trends
- Engage in the prevention and management of problems
- Be an important cross-functional advisory body, in the development of policy and resolution of internal cultural and organizational problems
- Recommend and/or make key decisions that will affect members of the agency, justice and public safety community, and the community at large
- Learn on the job

The most significant aspect of the above learning in which individuals have engaged is that they have learned leadership **on the job**, while they do the work of leadership under the direction of more experienced and competent leaders than they are.

As the CIT prepares and provides live learning experiences to help leaders learn, leaders are able to leave CIT meetings and immediately apply the problem-solving, decision-making, and team-leadership skills they have gained in the CIT meetings.

Leaders Must Develop Competence for the CIT to Work Effectively

Leadership development in the context of the CIT work is powerful. It is not as powerful, however, as continuous learning in the work environment. Often, those who could mentor or coach are not trained to do so and they frequently say they are too busy to do so. Therefore, it is important to make more resources available to leaders so they can gain as much leverage and support as possible for the important learning they must do.

Some organizations have formally identified and trained mentors (who support longer-term learning for career development) and coaches (who support shorter-term learning for skill development).

Others have brought in retired experts who are paid some of the training budget to return and pass on their expertise.

In Conclusion

Building and Coaching a Leadership and Learning Organization by forming Continuous Improvement Teams can be accomplished only if senior leaders intend to make it happen.

It can only occur if competent, credible, and caring leaders are selected and developed to perform on the CIT.

As you can see, learning is the key to successful leader, team, and organizational change and development. CITs and online resources, when used together with other training and personnel processes, can provide the optimum environment for success.

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10 Practical Application 2: Community Safety and Security is Everyone's Business

Introduction

The horrific events of 9/11/2001 that wrought destruction on the World Trade Center in New York and at the Pentagon brought evidence of a new reality in North America related to terrorism; it was being brought to our home ground by a foe based in religious ideology. It was being executed in a manner that inflicted mass casualties and it was being directed at both military and “soft” civilian targets. Finally, these attacks were well organized, planned, and executed by suicide squads.

Again, in Madrid in 2004, there was an attack on “soft” civilian targets: the commuter rail system. In London in 2005, the subway and bus systems came under simultaneous suicide attacks. More recently, there have been attacks throughout Europe where individuals, or small groups of attackers, have targeted “soft” civilian targets with mass shootings, “low-tech” vehicle assaults on crowds of people in tourist or shopping areas, or other unimaginable and senseless acts of violence and mass murder. Each of these demonstrated that these actions are not carried out only in areas like Palestine or Iraq; they are being brought into the European and North American reality against civilian targets, often by radicalized citizens of the country of the attack.

This introduction is intended to highlight the need for governmental and civilian organizations to work together toward more effective community safety and security. The reality is that there has always been a need for a well-coordinated effort in our communities to make them safe and secure, only we have not always been doing well in that coordination. The crime and incivilities that exist among us deserve a cohesive response from the community at large to ensure that we can live our lives with as little negative influence from these norms as possible. The new urgent reality is that, in addition to the crime and incivilities ever present, there is a new foe increasingly in our midst. Religious ideological anti-state terrorists are becoming active in North America and around the world in manners that threaten our communities with mass casualty and damage, primarily directed at civilian targets, often without the use of conventional weapons.

Policing resources are being diverted from community-centered public safety and crime issues to address the emerging threat of terrorist activity. It is a new reality that police organizations have to actively plan intelligence, investigative, and enforcement programs around these potential terrorist activities. Community issues are primarily not about terrorism, however. This leaves the question: If the police resources are increasingly being tasked with counter-terrorism activities without complementary increases in their resource base, are the other community public safety and law enforcement issues receiving less attention?

This chapter briefly examines the nature of the “new reality” in North American security and public safety and suggests ways in which individuals, organizations, and governmental bodies can work together toward shared objectives and benefit.

Whose Job is it Anyway?

For much of the second half of the 20th Century, modern society has progressively been placing the responsibility for community safety and security on policing organizations. This was followed by the logical development of increasingly specialized career paths within policing and specializations of skills that were encouraged and reinforced through the support of advanced academic institutions. More and more, people with jack-of-all-trades policing capabilities were becoming an anomaly.

In the ‘60s and ‘70s, there was an anti-establishment culture that shied away from involvement with policing, law enforcement, and security environments. This necessary segment of society responsibilities was not embraced by large portions of our communities, and was being left to the “other guy.” Largely, those areas were not a chosen career path for most individuals. In addition, the decentralization of people from urban centers to more suburban lifestyles created an environment where people would go home at the end of the day and focus on their own family and friends. Overall interest and involvement with community safety and security issues did not get widespread support.

In the early ‘70s, in some isolated centers an organized, academically supported interest in community-based solutions to crime and incivility problems started to develop. In this timeframe, Crime Prevention Through Environmental Design (CPTED) principles started being advanced to deal with the source of crime activity and fear of crime. Also, this era saw the emergence of programs such as Neighborhood Watch and other programs designed to elicit involvement of the community in their own safety and security. Policing organizations were realizing that the crime and community safety problems were beyond their ability to deal with themselves. They clearly believed, however, that they could coordinate and lead the various efforts in the community, using business and private citizen volunteers to champion various programs. There became a general acceptance of this type of program, but it was usually relegated to Crime Prevention or Community Service Officers within police organizations. The general rank-and-file personnel still did not have a strong belief in or support for such programs; they were often not considered part of “real police work.”

Even through this period of generally increasing acceptance of business and private citizen involvement with police department crime prevention activities, there still was not a general acceptance of private security organizations’ involvement in police support activities.

Matching Police Services to Community Needs

In all corners of business and society in general, we have been inundated with the concept that we must “do more with less,” “trim off the excess,” or some other saying centered around the issue that we do not have resources to waste on “non-core” activities. With limits in available person-resources, time, and funds, there has been more of a focus on “critical” activities in all areas.

Policing is no different than any other field of professional activity. There will always be fewer resources available than there are tasks or activities to complete. How then can the police pool those resources in the most effective ways?

Much of the answer can often be found in examination of the community in which the police serve. Each jurisdictional area has unique demographic characteristics. In these local traits are many of the solutions on how policing activities can best be carried out. A mill or mining town will have uniquely different needs to a farming town or, for that matter, a large city. In each area, the policing activities must shape to different community priorities.

This all seems elementary at first glance. To say that policing must match the community needs appears to be just common sense. It is fundamentally how modern policing started in England almost 200 years ago. Why then does it seem so hard for police agencies to accomplish this basic goal?

The answer lies often in the varying and sometimes conflicting forces that pull on the attention of the police agency. Whether the priorities are state (provincial) or federal, often the police department ends up spending much of its time fulfilling the wishes and directions of these “higher” authorities. This, at the core, is one of the causes of the greatest public dissatisfaction with police departments today. There is often a local perception that too much of the police department’s time is spent on activities directed by these higher levels of government—and not on meeting the local community’s priorities.

When you compound these pressures exerted by higher governments on the time and resources of the police, while at the same time decreasing their share of funding to fulfill policing activities, the difficulty becomes evident. It is simply becoming unacceptable for levels of government that are off-loading funding responsibilities to the more local levels to feel they can retain an increasingly disproportionate share of the activity time of the police. More and more, the local community has the basic right to expect more concentration on local issues, concerns, and directions. This appears to fly in the face of the increasing demands placed on policing organizations to deal with the relatively new policing activities associated with increased protective measures against evolving terrorist threats.

P3: Not a Bad Idea

It is humorous how often in the media that we hear commentary on Public – Private Partnerships (P3) in many new initiatives and how they are likely to cause the downfall in an industry sector or decrease the level of service in a particular governmental or public body. With the level of coverage dedicated to situations where this concept is being introduced, you would think this is a radical divergence from the norm, with significant negative consequences just around the corner.

In the security and public safety sector, P3 relationships are most often cast in the light that moving from a public or institutional stewardship of a responsibility to a private enterprise will cause a reduction in quality and care. This is an ironic attitude and position to take, because the public entity is the one that dictates the parameters surrounding private business response to an institutional need. It is most often the case that in-house resources will complete a job function at 1.5 times the cost (or greater) that is allotted for the private response to fulfill the same need. On one hand, there will be a realization of potential cost savings, while on the other hand there will be increased demands for scrutiny on the quality and complexity of the service delivery. Usually, this is an audited standard to which the public predecessor was not held, at a greater program cost.

Opportunities for Adjusting Response Dynamics

In a P3 relationship, there is a great opportunity to be able to adjust service delivery with greater flux when situations demand. Institutionalized services tend to be set in their own bureaucracy, with changes implemented in small measure slowly over time. Private organizations, on the other hand, must be nimble and be able to adjust dynamically to changing customer or client demands or they cease to be viable businesses.

If public organizations understand the operational benefits derived by just-in-time service delivery models, they can greatly increase their overall program effectiveness. For example: a government organization is holding a public event. Approximately 5000 people will be attending, including several VIP figures, both public and private. The nature of the event holds some controversy; some individuals may try to interrupt the event to make a public statement about their position on relevant issues. There is a perceived and real need to ensure there is effective event security including site, transportation, and VIP close protection. A call is made to the police with jurisdiction, requesting assistance (*does this description sound increasingly familiar*).

The above scenario is an example of the type of security event that surfaces with regularity. Often the police response to such a situational request is to assign on-duty personnel for the planning responsibilities, but bring in many off-duty or other area officers on overtime to meet the operational needs during the events. A close examination of the particular needs often show that utilization of specialized police resources is largely unwarranted, with a high price tag attached. Private security organizations could easily assist the police in meeting many of the

security and public safety needs for the event, with the added benefit of flexible response and reduced costs associated with private security organizations while freeing up the police resources for managing the overall operation and addressing the more critical police functions.

In 2002, this writer attended a national Police Leadership Conference where many of the participants initially commented on how they could not work reliably with private security, due to the generally lower level of ability of private security personnel. As the discussions progressed, it was revealed that many key figures in private security organizations today are former senior executives and key operational personnel retired from police organizations. When pressed, the police participants had to admit they likely were not fully considering the capabilities of private organizations. A careful examination of each organization's capabilities would show that many of them have resources matching police organizations. The other major area of concern expressed was that private security organizations were not held to the same level of accountability that public police organizations endure.

Standards of Service and Quality Assurance

It is true that in comparing various jurisdictions throughout the United States and Canada, there are significant differences in the way private security agencies are legislated, licensed, and controlled. These differences in standards and control mechanisms can result in quite a variance in the level of service delivery in the individual organizations. Is this not also true of different policing organizations? Do not police departments have variances in the level of ability of the individual officers within their organizations?

For any organization to have an acceptable level of performance, there must be established standards for the delivery of services and for the assurance of quality. This is true in private organizations as well as in public bodies. If the service standards and quality audit programs are known and exercised, the level of quality is addressed equally in private and public organizations.

Service Standards through Linkage of Training and Licensing

In many jurisdictions, consistency in trained abilities and quality of service delivery in private security organizations are controlled through governmental standards. Minimal levels of training are established with governmental oversight on both the training programs and the organizations that can deliver these programs. Additionally, as in policing, criminal records checks are conducted to ensure that the persons involved in the private security industry are of sound character. Increasingly, detailed reference checks are also conducted as part of a due diligence process, to ensure the representations made on job application forms and résumés are factual, and that the individual does not have negative character traits that are being revealed through inappropriate social media profiles and activities.

Private security training standards, although not usually as extensive as police training standards, do produce a level of consistency in the abilities of personnel. These abilities, when matched to

the tasks that are contracted through a service delivery contract, can produce exceptional service program results for the client organization. There are numerous examples of private security deployments that provide benchmarking levels of quality service delivery.

Service Standards through Professional Association

Another significant factor in the establishment and enhancement of levels of knowledge, skills, and service delivery in private security is through linkages with and membership in professional associations and governing bodies. There are a number of such organizations that ensure that there is a professional path for private security organizations to follow, opportunities to create new levels of professional standards, and programs to support these standards. One of the foremost of these organizations, ASIS International, is a world leader in the development of professional standards for the private security industry. It has been so successful in developing a professional model that many companies looking for security personnel consider membership in ASIS International an indicator of the level of commitment to the industry. In fact, professional designations can be earned in these associations, designations that are becoming a necessity for the higher-level positions within organizations; Certified Protection Professional (CPP) being one of the higher levels of designation.

It is interesting to note that as police officers leave their careers, many are moving to second careers in private security organizations. Many of those who wish to gain the more prominent positions within private security take the training programs necessary to enable them to qualify for these professional designations. Experience and ability as a police officer does not automatically provide the individual with the necessary skills or knowledge to be a leader in private security. This is a surprising revelation for many police officers, who previously regarded private security agencies as filled with “rent-a-cop” type individuals.

In policing, many police officers move through their entire career without belonging to professional standards organizations. There are numerous examples where police officers have no professional designation beyond that of being a police officer. It is not necessarily part of police culture to seek out and meet with other individuals with unique skills and abilities working together to increase their professional standings. Membership in a police organization does not guarantee that the individual is current in industry standards and practices.

Service Standards through Quality Assurance Certification

One of the other unique characteristics of private organizations is the practice of establishing measurable quality assurance benchmarks and standards, then auditing against these standards to ensure that service quality is consistently meeting these measurement levels. In Europe, it has become a significant force in industry to ensure that your organization has an ISO (International Organization of Standardization) certification and registry. This has become the externally recognized assurance that the organization has levels of quality assurance that can be consistently measured against other organizations that would have interdependency with their business.

Through this linkage of interdependent organizations, which all adhere to similar, measurable and audited quality standards, consumers can build confidence in the products and services they purchase.

In many industry sectors in North America, there are increasing numbers of voluntary participants in quality assurance standards programs such as ISO. As North American businesses compete in a global marketplace, there is a recognized need to be a participant in an unbroken chain of quality assurance.

Increasing numbers of private security organizations are becoming certified in ISO quality assurance programs. As more and more corporations achieve this certification to compete in the global marketplace, these same organizations are requiring their security service provider to also commit to this level of quality assurance. This certification provides private security organization a way to differentiate themselves from their competitors. Failure to adhere to the documented and accepted standards results in the loss of the ISO certification and, along with it, the opportunity to do business with those clients that require that quality assurance standard.

When looking at policing organizations, the quality assurance processes and programs that are part of the public oversight on policing programs are not that different from the ISO process. Once systems and processes are developed and accepted, this becomes the normative behavior and performance level expected from all the organization's membership. Failure to adhere to the accepted standards results in some form of sanctions against the individual or the department.

When looking at the intersection of government and business, the Customs-Trade Partnership Against Terrorism (C-TPAT) program is an example of a joint government and business initiative that has created a set of security standards relative to supply chain and border security. These standards are then implemented by business in cooperation with and under the audit control of governmental agencies to achieve a secure supply chain environment. Participants in this program receive a C-TPAT certification that provides them with the opportunity for preferential clearance on border crossing; thus resulting in reduced trans-border tie-ups.

The Untapped Intelligence Resource

As discussed previously in this chapter, a discussion with a group of senior police leaders related to public - private police partnerships initially resulted in lukewarm acceptance, at best. Upon further discussion about the untapped resources that existed, however, there were interesting changes in perception.

Police to Private Security Ratios

In the United States and Canada, private security personnel outnumber public policing personnel by a ratio of over 4 to 1. In addition, the private security personnel are strategically located throughout the community, monitoring and controlling security for various private

organizations, including mass public spaces such as shopping malls. Just by sheer numbers, placement and the fact that the private security personnel services are paid by individual corporate or organizational clients create a tremendous opportunity. Private security personnel spend most of their time in places where it is not possible to have a continual public policing presence.

Private Security Officer Focus

In most cases, private security personnel are hired for a specific set of tasks. They are expected to monitor and control safety and security for a specific client in a particular environment. They are not subject to the stresses and pressures of being pulled from one environment to another. They perform security duties within that designated environment only and have many skills of primary interest to a police organization. Developed skills such as memory and observation, note-taking, preservation of evidence, preparation of court documentation, and presentation of court evidence are all commonly learned by private security personnel. Although centered on the activities of a particular client business or site, these skills are still comparable to those found in police organizations.

Extra Eyes and Ability throughout the Community

It is always surprising that policing organizations largely do not “get it” when it comes to focusing on cooperative implementation of community safety programs with private security organizations. Having skilled people throughout the community who the public does not have to pay and who would also be willing to assist police through crime prevention activities seems like a “no-brainer” for cooperative programming. Police organizations have been including businesses and private citizens in cooperative programs for over a quarter of a century throughout North America. Programs such as Citizens-On-Patrol have received widespread acceptance and inclusion by police organizations. There seems to be a large, trained pool of security resources that could greatly add to the overall eyes on the street that is not being adequately exercised.

In Vancouver, British Columbia, the Insurance Corporation of British Columbia has teamed up with the Vancouver Police Department, E-Comm (Emergency Communications Center), and private security organizations to develop an Auto Theft Prevention Program called the Bait Car program. In this program, specially equipped vehicles are left in high-risk parking facilities in a way that is attractive to thieves. Once stolen, the vehicle is remotely locked, the engine is stopped, and the criminal is apprehended by a team of police officers. Evidence of the crime is recorded on hidden cameras and audio systems reveal to the thieves that they have been caught in the Bait Car program. This cooperative policing and crime prevention program is a successful example of police and private security working cooperatively toward a common goal. Interestingly, private security organizations volunteer financing and personnel for these community service programs without reimbursement.

There are many examples where private security organizations willingly assist in community efforts to reduce the opportunity for crime. These businesses are able to make quick decisions on dedicating resources to a program where it makes sense to do so. Sometimes, it is very difficult for a public police organization to respond to these needs in the same timeframe. Dedicating resources is a function of budget allocations, prioritization of service delivery, and pressing demands on the resources. Also, involvement of police often requires allocation of resources beyond what is normally available.

In Chapter 14, Ward Clapham talks about the currently operating Richmond Detachment of the RCMP on a Crime Prevention 2 (CP2) Model of Intelligence Lead – Targeted Policing. There is a significant source of community intelligence available through closer cooperative relationships in P3-style programs.

Another example of successful P3 relationships exists in British Columbia in the investigation of Diversion of Electricity Investigations. The Hydro Authority experiences cases of diversion of electricity thefts, many in support of illegal drug grow-operations. For the Hydro Authority, the theft of electricity or damage to equipment such as transformers is their primary corporate concern. Through private investigation of these events, quite often sufficient evidence is revealed that would support successful investigation of illicit drug operations. It makes good sense that the police organizations would want the Hydro Authority to be successful in their corporate investigations. The Hydro Authority, in turn, needs the support of the police in executing search warrants to “keep the peace.” Both the private security and public police objectives can be met and the public interest is served and community safety is enhanced.

Emergency Service Response: Public fortified by Private

Many recent examples of large scale public emergencies, such as Hurricane Katrina, have taxed the public response resources beyond their limits. There are simply not enough public resources to address all the overwhelming needs in such situations. It has long been an accepted fact that, in times of disaster response, partnership between public and private agencies fortified by the volunteer community groups would be needed to effectively marshal enough resources to meet the challenges. In the example of Hurricane Katrina, a Canadian urban rescue team from Vancouver, British Columbia, was one of the first responder groups to get to a community in Louisiana with much-needed medical and emergency services aid. In times of such overwhelming logistics challenges, national boundaries can even be crossed to provide cooperative assistance; these groups are comprised of both public and private personnel. At the time of revisions on this book, the devastating Hurricane Harvey, in Texas and Louisiana, was providing more sobering examples of this.

The Training Myth

It is always interesting to talk to a police officer who has little knowledge of modern private security organizations. When considering their ability to be able to perform effectively in the

private security company, many police officers feel they are overqualified. This is usually a continuation of the belief that private security companies provide “watchmen” type services with few skill requirements.

This writer has had the interesting opportunity to watch a large number of police officers enter the private security field. In many instances, these officers have been stunned by the level of professional skills and knowledge required to fulfill private security job functions. Increasingly, these police officers quickly turn to advanced training and education to fill the gap between what they thought they knew and what they need to know.

Security is a vast field of study involving many disciplines. A significant number of specializations can be sought within the overall private security umbrella. That is not that unlike the scenario in a large national police, law enforcement, or criminal justice organization. In organizations such as the Royal Canadian Mounted Police, the FBI, or the California Highway Patrol, numerous specialized career paths require specialized skills and abilities. In each of these cases, the officers chosen for a specialization require extensive training to become proficient in each special field. Security is no different from this policing scenario.

The level of professional skills, training, and education prevalent in private security organizations today is comparable to any police organization. Whereas the skill sets may be varied from the police organization, there is no less commitment to professional standards or achievement in most private security organizations. A police officer needs only attend professional development events such as the ASIS International Annual Convention and Trade Show or any of the many professional development programs held throughout the year to be aware of the level of commitment and ability that is present.

So, What Does This All Mean?

Basically, it means there needs to be greater understanding by the police of private security organizations and how they can cooperatively fit into the development of community safety and security programs. There are not enough police personnel to effectively address all the public safety and security needs within a community. Increasingly, the limited police resources are being tasked with additional responsibilities regarding national and trans-border law enforcement and/or security against a terrorist threat. Certainly, the public is unable to pay for the saturation of policing resources that would be required to fulfill all the expressed requests for public safety programs. Police and public safety organizations, in partnership with private security organizations and the community at large, are more likely to successfully provide the necessary level of service to achieve community safety and security.

11 Practical Application 3: A Futures Perspective on Leadership Development

By Gene Stephens, PhD

Introduction

The events of 9/11/01 painfully established the critical need for re-appraisal of future leadership style in the public safety sector. The costs of crisis-oriented leadership were demonstrated to be too high for a truly civilized society. The truth of this was even more dramatically demonstrated in the tragedy that occurred with Hurricane Katrina.

Whereas the trend in cutting-edge agencies—even before 9/11—had been toward pro-active systems to prevent crime and disaster, the terrorists' attack was the catalyst that awoke others to the need for change.

The number one requisite of leadership—vision—took on new meaning as the “creative foresight” aspect of vision that has taken center stage. It is no longer enough to develop a vision for the future of an agency, instill that vision in colleagues, and lead all toward its accomplishment. Vision now must include anticipation of probable and even possible future events accompanied by creative plans to curtail disasters and facilitate positive change.

As futurists, we believe we can “create the future” we desire, but only if we are willing and able to develop and use this creative foresight. Fortunately, futures research offers many tools to allow public safety leaders to gain a clear perspective on future directions and to anticipate future problems and issues. Armed with this foresight, leaders can develop visions that include proactive action to forestall undesired future events.

As investigations of the events of 9/11 have found, numerous and significant clues were available months and even years before the terrorists' attack. Why were they missed? When they were found prior to 9/11, why weren't they followed to the point of preventing the attack?

Similarly, files on the shootings at Columbine High School in Colorado have been opened to the public, revealing that a plethora of evidence was available months before the shootings, including sworn but unused search warrants—one for the home of one of the shooters. Again, why wasn't this budding tragedy foreseen and stopped?

In the case of Hurricane Katrina, when the government was aware that a level 4 or 5 hurricane could exert enough force to breach a levy, why wasn't strong pro-active action taken to rebuild them to prevent the tragedy that did occur?

One important element in the answer to these questions lies in our propensity to wait until we have massive evidence before interfering with a suspect's life—meaning we usually wait until the crime or disaster occurs before taking action. The more controversial such intervention would be, the more likely we are to wait. A street gang member might be arrested on a minor charge just to keep him off the street, but investigating and charging the sons and daughters of wealthy suburbanites is another matter. Thus, courage is a critical requirement of successful leadership in the 21st Century—not overzealous violation of individual civil liberties, but willingness to “take the heat” if it appears that unpopular action is necessary to protect the public.

A second critical element is the lack of coordination and cooperation among public safety agencies. During the 9/11 attack, for example, the police, fire, and emergency services employees working the disaster could not even talk to one another because their agencies were communicating on different radio frequencies. Leaders with foresight would anticipate this type of problem and take action to eliminate it well before a crisis occurred. Post 9/11, such action has been taken, but many other problems of coordination and cooperation remain. The 21st Century leader must establish the links necessary for proper coordination of effort among all public safety agencies. In addition, he or she must nurture the personal relationships with other agencies that are necessary to allow seamless cooperation in times of crisis.

Here the task is to describe the leader of the future and the tools available to accomplish the requirements of 21st Century leadership. A brief introduction to leadership will be followed by a discussion of futures research methods, e.g., trend monitoring, scanning, bellwether, Delphi, brainstorming, and scenario development.

Finally, this author will offer his “principles” for effective public safety leadership in the future (modified from the First Edition in accordance with the lessons learned from 9/11 and other recent events). The approach taken is predicated on a belief that in public safety, the trend will continue toward seeking to bring peace to neighborhoods rather than fight endless, costly, and fruitless wars on crime, drugs, and other “evils.”

Futures Visionary Leadership

Again, vision is the number one requirement of leadership. Without vision, where does the leader lead? Vision can be as simple as understanding, adopting, and pursuing a departmental mission or goals statement or as complicated as unilaterally seeing the gold-paved path to success in the future and communicating it successfully to others, much as a “cult” visionary, e.g., Christ, Muhammad, Buddha.

In other words, the leader's vision can be his or her own creative development or can simply be adopted or adapted from the vision of others—from lawmakers who established the mission statement to local political officeholders who have articulated their goals for the larger community; police administrators in other locations who are much admired; citizens whose expressed needs and desires are being served; a synthesis of futures research and its indications about the future world; to, at best, a combination of all of these. However acquired, vision and the ability to interpret it, communicate it, sell it, and challenge others to join in its pursuit are critical to leadership.

What makes this particularly important in evolving public safety culture is the trend toward all employees having to be leaders—from the traditional director/commissioner/chief down through supervisory levels to the street professionals.

In community-oriented policing, for example, the commanding officer must have the broad vision for the total department/community, while supervisors must adopt/adapt that vision and communicate it to field officers. They, in turn, must interact within the framework of the vision with citizens in their neighborhoods as well as with their “partners” in the community and in government and private service agencies. Feedback from the street level, indeed, will be critical in maintaining, revitalizing, reformulating, and—sometimes—rethinking the vision altogether.

Whereas this is certainly a new role for many personnel at all levels, you can look at evolving culture and clearly see it is an idea whose time has come. Contrary to popular myth, the generation joining police agencies as we enter the 21st Century is vision-driven. Members of the so-called Generations X and Y (or Millennials) have been found to not only desire but, indeed, require vision to maintain interest and be productive in their work lives.

In *Naked Management*, psychologist Marc Muchnik (1996) declared that given clear, consistent communication of vision, positive recognition, considerable autonomy and trust, and a collegial atmosphere, Generation Xers often become the type of creative, dedicated colleagues we all desire. “Bean counters: No! Better: bean creators: Yes!” This is the generation moving through the ranks in police departments today and, if they demand anything, the generations to follow will require and demand still more respect, autonomy, and direct communication, along with “meaningful work.”

In *Millennials Rising*, Howe and Strauss (2000) described this latest generation—which began entering the work force as adults just after the Millennium—as “can do” optimistic, cooperative, capable young people who welcome change and new technology and expect to “change the world.” The day of the standard operating-procedures automaton is over. The day of the dedicated, vision-seeking, problem-solving, better-world-creating “partner” is dawning (Muchnik; Tulgan, 1996; Howe and Strauss).

In other words, this independent-thinking worker—who does not blindly follow orders but who genuinely wants to make a difference—is exactly what is needed as a variety of community-

oriented, problem-solving approaches move toward becoming the norm in public safety departments everywhere.

In many ways, the convergence of a new mission and new employee type is a product of another idea whose time has arrived. It is in harmony with the structure and needs of the emerging society—in which the mechanistic, assembly-line thinking of the industrial age (with its militaristic, law enforcement-oriented policing) is rapidly being replaced by the rapid-and-constantly changing, creative-thinking-demanding information age world. Quick adaptation, flexibility, and networking, e.g., partnerships, are the keys to individual and agency survival in this new environment.

A leader applying futures-study techniques moves from being a strategic planner who primarily relies on data from the past with a few trend predictions to a confident visionary armed with significant data on the future. This leader can finally plan for the future world.

Futures Forecasting as a Leadership Tool

Futures research provides many tools for this 21st Century leader: trend analysis and forecasting to help him or her keep ahead of the curve; “future facts” to provide a preview of soon-to-be-available technology as well as direction of social change; bellwether to allow adaptation of cutting-edge experimental programs; Delphi studies to get expert opinion on the future; and scenario development to put alternative futures in perspective. Each of these is reviewed briefly below, before we turn to a discussion of the roles and characteristics needed in future police leaders.

Trend Analysis

Trend analysis is based on collecting and evaluating data on the past and present and forecasting it into the future. For example, if there were 100 burglaries five years ago, 110 four years ago, 120 three years ago, 130 two years ago, and 140 last year, what would you forecast for this year? Next year? The year after that?

Since the number of burglaries rose consistently by 10 per year over a five-year period, the obvious forecast would be to add 10 more each year for the foreseeable future—reaching 150 this year, 160 the next, and 170 the year after that. If the past five years were 100, 90, 95, 85, 90, the logical forecast would be 80, 85, 75, 80, 70—10 down, five up, 10 down, five up, 10 down—for the next five years.

Consider that the US Bureau of Census (annual) forecasts that the “graying of America” will be an ongoing process for the foreseeable future. The percentage of the US population 65 or older, which was 8.1 percent in 1950 and 12.7 percent in 1998, will reach 16.5 percent in 2020 and 20.4 percent by the middle of the century. The same trend is forecast for other industrial countries,

e.g., Canada, with 12.5 percent in 1998 to 18.2 percent in 2020; Germany, with 15.9 percent to 23.2 percent; and Japan, with 16.0 percent to 26.3 percent.

For public safety, this raises serious issues to be considered in planning for the future. For example, how do we cope with the possibility of increased crime by and against the elderly; how will we head off intergenerational warfare between the politically potent elderly and frustrated adolescents?

To assist in this process, we might collect further data, such as economic predictions for the elderly. For example, the increased poverty of individuals age 65 and over will likely mean that more crime is committed by that group. And the creation of multigenerational households—where the elderly become wards of their children and grandchildren—will bring additional conflict into homes and communities.

At the other end of the spectrum, US Bureau of Census (annual) data indicates that a Baby Boomlet in recent years will result in a 30 percent increase in the crime-prone 15-to-17-year-old population in 2010, compared to 1995. This projection led Northeastern University criminologist James A. Fox to predict a crime wave among juveniles in the first decade of the 21st Century (Fox, 1996).

This prediction illustrates the problem in relying on trends alone to forecast the future. Whereas trend analysis and forecasting are helpful—even necessary—they should not be used in isolation in identifying issues and planning for the future.

- First, trends do not reflect changes in technology.
- Second, they do not accommodate social change.
- Third, they do not reflect major events.

For example, the computer and decoding of DNA have changed crime and investigative techniques considerably, as have changes in the economy and events such as schoolyard shootings by pre-teen youths.

Beyond this, in the preceding example, the violence rate among juveniles actually declined in the late 1990s, leading to significant revaluation of 21st Century forecasts. Thus, methods beyond trend analysis must be employed and included in the synthesis of data needed for good visioning by police leaders.

One excellent tool is scanning for future facts—ideas, products, services, processes—that are a year or more away from marketing and use but are likely to result in significant change in society (or at least procedures), once they appear. Future facts can be found in reports of laboratory research, think tanks, academic or scientific journals, special-interest and technical magazines, and even the popular media, including newspapers and television reports.

For example, television was unveiled at a 1930's World's Fair but did not come into widespread use until the 1950s. This incubation period between discovery and development to deployment in society gives futures thinkers time to consider impact and develop contingency plans, as well as include the "future fact" in the vision process.

Some currently developing future facts include:

- a sober-up pill that will block the impact on the brain of alcohol and other drugs;
- a universal low-cost translating device that will accommodate immediate translation from any language;
- a hand-held scanner that will allow remote body-cavity searches;
- listening devices and cameras that hear and see through walls; and
- bionic ears and eyes that can utilize new listening and watching devices (think: "In Plain View Doctrine").

In the biotech area, soon there will be nano-sized computer chips that can be placed in neural networks (such as the human brain) to give the recipient access to billions of gigabytes of instantly accessible data (such as criminal records of suspects or *modus operandi* files). Knowledge of future facts then can play an important role in visioning.

Bellwether Forecasting

Bellwether is another useful tool. Seemingly new phenomena that police face—from a new crime (identity theft) to a new criminal technique (house napping) to a growing criminal threat (terrorism)—may have already occurred in other locations. Thus, scouring the nation (or now, the world) via the Internet or other modern low-cost communication systems might result in finding someone coping, possibly even successfully, with the phenomenon. If that person's approach can be adapted to deal with the dilemma in your jurisdiction, you save time and money and still solve (or at least alleviate) the problem.

For example, years ago when Charleston (SC) Police Chief Reuben Greenberg found that ATM machines were attracting nighttime muggers, he scanned the country in search of solutions; he found that placing the machines in commercial establishments open 24 hours seemed to work best. At that time, there were few such businesses in Charleston, so Greenberg convinced banks to put their ATMs in the 24-hour police precincts around the city. Thus, bellwether involves cutting-edge, trend-setting ideas/programs/approaches that can be emulated or adapted for use.

Delphi Method

Similar to bellwether is the Delphi method, where experts are sought out and consulted in a search for answers to an emerging situation. For example, if computer fraud has begun to affect families as well as businesses in your community, you might identify and query a group of computer security experts. You could have world-wide access to their input via the Internet.

In 1984, then-FBI Special Agent William Tafoya decided to use the Delphi method in his PhD dissertation research at the University of Maryland on “The Future of Policing.” After identifying a panel of a score of cutting-edge police administrators, scholars, and legal experts, Dr. Tafoya asked them to provide a series of forecasts about the future of policing. After compiling their ideas and eliminating duplication, he asked them to take the total list and put a date beside each item or write “never” beside the ones they did not believe would happen.

Finally, Dr. Tafoya (1986) compiled a consensus chronology of policing from the data. For example, Delphi indicated that crimes using high technology would become so complex by the year 2000, police would be unable to do more than take initial reports. In response to this and other Delphi forecasts, students of Dr. Tafoya’s class on police futures at the FBI Academy founded an organization, Police Futurists International (PFI), which has been in the forefront of “spreading the word” on the needs of public safety leaders to be effective in the 21st Century.

Opinion Polls and Brainstorming

Two other helpful futures-research techniques are opinion polls and brainstorming. For example, in the South Carolina Fear of Crime Poll (College of Criminal Justice, University of SC) conducted by this author, it was found that by the mid-1990s drug abuse in the community was a concern of more than 95 percent of respondents and 75 percent said they would be willing to pay higher taxes to alleviate the problem.

When asked whether they thought law enforcement or prevention/education was the more effective approach, two-thirds chose education/prevention. Armed with these data, a public safety leader could go to the city council/county commission or elsewhere to seek additional funding for Drug Abuse Resistance Education (DARE) and other education/prevention programs, while possibly shifting some existing funds toward these approaches and away from dependence on undercover operations and arrest efforts.

Brainstorming is a way of taking data obtained from futures research and developing ideas for use in creative interaction. For example, after collecting data for more than a decade on the youth-at-risk problem and possible solutions—including future facts such as computerized crying dolls for teenage parenting classes, which are now available—20 years ago the writer began holding brainstorming sessions with students, academics, and practitioners to develop plans for coping with this continuing problem.

The results—which include recommendations such as mandatory parenting classes and comprehensive community partnerships to provide everything from non-violent conflict resolution programs to mentoring to community service opportunities—have been published in *The Futurist* (Stephens, 1997, 1998) and distributed by the National Consortium on Alternatives for Youth at Risk to its membership of juvenile and family court judges and social workers, among others.

Scenario Planning

Finally, the scenario is an excellent tool for synthesizing findings from all the methods discussed above into a story that is set in the future. Scenarios provide an opportunity to creatively think about what all these trends, forecasts, and future facts could mean on the job and in everyday life in years to come.

Every word or phrase in a scenario should have a specific purpose, to illustrate how an expected future technology or social or demographic trend, for example, might be manifested. Consider, for example, the following line in a scenario about public safety patrol in the early 21st Century: “Wang Hernandez lazily hovered above the city, soothed by the subliminal implant that kept him calm, cool, and collected as he patrolled.”

Here, the name Wang Hernandez indicates the multiculturalism that will escalate in society, while “lazily” indicates crime is not perceived to be out of control; “hovered” we learn later means he is using a jet pack for transportation. The “subliminal implant” means social control technology has been applied. Later in the scenario, we learn that a burglar was overcome by nerve gas when he illegally entered a computer-controlled “smart” house. Officer Hernandez quickly “hypodermically administered an antidote, took a blood sample, and checked the DNA bar code obtained with the criminal files database built into his unit.”

This research technique becomes even more useful when alternative scenarios are developed. A standard or surprise-free scenario can be developed from trend forecasting, while a pessimistic scenario can indicate what could go wrong in the future. An optimistic scenario can show how new technology could be melded with expected social and demographic changes via enlightened policy-making, training, and application to create a desirable future. For example, in another version of the scenario discussed above, no break-in takes place thanks to a policy of “providing tax credits so citizens can afford low-cost, computer-controlled Smart Houses.”

In 1990 in San Antonio, some 300 judges, court administrators, lawyers, law professors, and law reformers gathered to consider the future of the courts with the help of Dr. James A. Dator (1994), Director of the Hawaii Research Center for Futures Study. The method used was to envision alternative scenarios for the 21st Century court system. Seven scenarios were developed, each focusing on a different direction the courts could take from a judicial leadership model in which judges played a greater role in controlling the agenda, to a multi-door courthouse approach in which neighborhood justice centers offered a range of culturally appropriate dispute-resolution techniques to a global high-tech system, in which appearance in the courtroom was unnecessary and artificial intelligence was used to decide cases.

Managing Change Creatively

All the above techniques provide tools for the future leader—a way to develop vision with more data on the future and more thinking about the future. The task of the leader is to use

them not only in developing vision, but in managing change creatively. Clearly, the 21st Century begins as a period of increasingly rapid change, with little likelihood of a slowdown in pace in the near future. Such an environment requires a different approach to leadership.

James Ogilvy (1995), of the Global Business Network, succinctly captured the new direction in the following summary:

As more jobs succumb to automation, the work that remains demands higher levels of mindful creativity. There are fewer rewards for following standard procedures, fewer opportunities for human automata. A capacity for innovation is as important in an information economy as the need for standardization was important to the industrial economy.

Thus, future (and the future is now) public safety leaders will face coping creatively with constant change. But creativity has always been a major part of the police role, as the officer learns bits and pieces of a situation—from a bank robbery to a domestic crisis to a neighborhood disturbance—and must put the puzzle together, fill in the gaps, and create a whole picture.

Already there are numerous examples of creative public-safety leadership, such as the officer who dressed as a clown and went trick-or-treating on Halloween. His “trick” was serving *subpoenas* on some hard-to-catch defendants. Many “sting” operations have been used, such as invitations to a party or the promise of a generous price for stolen goods, to attract wanted felons.

Working with communities, public safety agencies have sued criminal gang leaders for damages to the neighborhood and created citizen patrols armed with cellular phones to serve as the eyes and ears of the community.

In Charleston, Chief Greenberg holds periodic “Police Tactics That Really Work” conferences to exchange creative ideas with other agencies, such as providing cameras to all officers, with instructions to take flash pictures of any suspected drug dealings because, Greenberg says, “Our goal is to destroy the business of crime.” Another good source for exchanging creative policing ideas is the Community Policing Exchange of the Community Policing Consortium in Washington, DC.

Other excellent networks for futures-oriented police leadership assistance include the California Commission on Peace Officers Standards and Training, in Sacramento, which administers the California Command College and other leadership programs; the Canadian Police College in Ottawa; the Texas Law Enforcement Management Institute, which provides leadership courses at three different university locations; and the Florida Criminal Justice Executive Institute, headquartered at the Florida Department of Law Enforcement in Tallahassee; as well as Police Futurists International (PFI) (<http://www.policefuturists.org/>), which annually has an international conference at the same time and place as the World Future Society (WFS).

Re-Evaluating Futures Leadership Principles

Over the years, much has been written about principles of leadership. This entire book, for the most part, has served to illuminate such principles. Like others, this author has thought long and hard about this subject and in the First Edition of this model was presented “seven principles” for effective public safety leadership. In light of 9/11 and changes in public safety operations, e.g., Homeland Security, these principles need to be re-evaluated and revised here.

In preparation for this revision, the writer—a charter member of Police Futures International—placed a query on the PFI listserv asking for “help” in answering these questions.

- Has the leadership “circle” been expanded beyond police and local, state, and federal law enforcement agencies—say to regional emergency services, planners, etc.?
- Does leadership now require multi-jurisdictional risks and threats assessment?
- What issues and problems should a leader in public safety see on the horizon and what solutions and action are foreseeable?

Several colleagues chose to reply, beginning with Capt. Thomas J. Cowper, New York State Police:

I'd say that in policing today, everyone is a leader and what has expanded is the “circle of information” that all of us leaders need to draw upon to make informed decisions, day-to-day or in a crisis.

Public safety and its response operations and associated crises are intergovernmental and multi-jurisdictional by nature. Access to information and the ability to process, analyze, and display it in a productive way to increase our individual situational awareness and our collective governmental awareness is an absolute requirement of Information Age policing if we want to be effective. This “network-centric” philosophy makes information flow paramount and empowers all “leaders,” regardless of rank or organization, enabling them to make better decisions faster by self-synchronizing their individual actions without the need for close supervision or centralized hierarchical direction.

Cowper also recognized several obstacles to this highly efficient, effective leadership: “Of course, this assumes we can break down hierarchies and rigid organizational barriers to information sharing and cooperation, procure, implement, and manage the necessary technology and change the culture of policing.”

Some hope for better times, as was seen by Chief Richard Myers of Appleton, WI:

In my city, we are expanding the exposure of police officers with the fire service, and the public health service. We're looking for opportunities to “cross pollinate” among the various public safety services, to increase mutual

understanding and know ahead of the next crisis what we can expect of each other.

But it's not a smooth transition, Myers warned: "Sadly, we are still stuck with an old system of how emergency management funding flows, 'who's in charge,' etc. We are working through that with training and local policies."

Dr. Sandy Boyd, Marin County (CA) police trainer and consultant (Seven Point Partners), added:

I agree with Tom (Cowper) that everyone is (has to be) a leader, but would modify that to state, that everyone has to practice leadership. That in itself is a huge change in how we do our business. Departments can no longer be led (as we traditionally think of a paramilitary organization) and the practice of leadership is everyone's responsibility. I think we were slowly evolving to this, but since 9/11, the change process has been expedited.

The need for contingency planning and forethought was highlighted by Capt. Gordon A. Bowers, Burbank (CA), Police Department: "For the head of a law enforcement agency, the time for management is pre-disaster. After the disaster, there is no time for anything but leadership."

Thus, issues that must be resolved for 21st Century public safety leadership to operate efficiently and effectively include:

1. modification (or abolition) of the hierarchical rank structure found in most public safety (especially police and fire) agencies in recognition of the leadership and decision-making required at all levels of the organization;
2. setting aside competition and even rivalry and animosity among various public safety agencies—e.g., police versus fire, police versus private security, fire versus emergency services, local police versus state and/or federal agencies—that were partially responsible for the lack of coordination and cooperation on 9/11, even to the extent of being on different radio frequencies; and
3. cross-training of public safety personnel so they will be better prepared for disasters and other emergencies, e.g., terrorist attacks, and will have more respect for the variety of services necessary to prevent or cope with such events.

Taking all this advice and the new milieu into account, here are the revised, "Ten Principles of Community-Oriented Public Safety Leadership."

1. Bottom-Up Leadership

The good Public Safety leader, whether at the chief, supervisor, or street-officer level, is listening to the constituency—the citizens of the community and, in the case of the chief and supervisors, the employees closest to the people: the street officers. Thus, a flattened pyramid is necessary for success, as a collegial atmosphere is required not only to get top performance from Generation Xers, Millennials, and beyond but also to accomplish the task of identifying and solving crime and disorder-breeding situations and the mission of keeping "peace in the neighborhood."

2. Leader as Visionary

With bottom-up leadership comes “listening” and “researching,” which in turn allow each leader to synthesize input into vision. Each level listens and scans to develop and operationalize the vision necessary to accomplish the goals of the agency/partnership.

3. Leader as Coordinator

Public safety in the 21st Century will increasingly depend on “task forces” to handle complex periodic and even daily tasks, e.g., Internet crimes, blackouts, and terrorist attacks. The successful leader will have to foster the relationships necessary to develop such task forces and lead through the plethora of different policies and procedures that must be melded to achieve goals. All emergency services and other agencies necessary to a specific task must be identified, brought into the “information circle,” and treated as true partners.

4. Leader as Change Agent

Change has always come slowly to public safety agencies, but the demands of the future require change not only to occur at a faster pace, but indeed to be ongoing. Rapid advances in technology within the global community that is evolving mean that events anywhere around the world can impact any community—from a radical religious or political group with converts everywhere to a criminal enterprise using the Internet to recruit both partners and victims. Leaders thus must embrace change as an ally and, likewise, must use foresight and research to effectuate it in the best possible way. Luckily the Millennials, at least, have been reared on rapidly occurring change and are stimulated by it, bored without it.

5. Leader as Communicator/Interpreter

The leader, at whatever level, must put events—e.g., a senseless murder, a neighborhood disturbance, a terrorist attack by a gang—into perspective to avoid activities or redirection away from mission and vision accomplishment. Of course, if events—especially a series of occurrences—indicate a serious flaw in the vision, reconsideration may be necessary. Once the activities are redirected, however, the leader needs to keep the path to mission accomplishment open and clearly articulated.

6. Leader as Clarifier

Vision and mission must be and stay in congruence; it is the leader's role to translate the vision into a clear mission statement and clearly delineate the path of the vision quest. Again, Generation Xers and Millennials are vision-driven for the most part, but must have a clear understanding if coordinated effort is expected.

7. Leader as Facilitator

The 21st Century leaders will spend much time clearing the path, acquiring the tools, creating the partnerships, and in general seeing that needs are met for those on the vision quest. Again, this ranges from community officers facilitating community programs to supervisors facilitating street officers and administrators facilitating at all levels. Among the facilitating tasks is taking the lead in establishing “community” when none can be discerned. After all, how can a community be assisted if there is no community? Identifying needed partners and developing trust-based relationships are also the facilitator’s role, as are carefully listening to needs at the street level and acquiring the resources to meet them.

8. Leader as Mediator/Arbitrator

In any quest, there will be disagreements—differences in vision and/or how to achieve it. The leader, again at all levels, must negotiate conflicts by seeking to gain consensus agreement (mediation) or by developing, articulating, and implementing an equitable decision in the case of impasse (arbitration).

9. Leader as Moral Backbone

Ethics is the responsibility of all leaders; since everyone in public safety is a leader, ethics is the purview of all personnel. “Fighting fire with fire” raises cheers in action films, but it is not the way to bring peace to the neighborhood. “To serve and protect” the public means to serve and protect all citizens—not just the ones paying the most taxes or the ones with the most political clout. The person breaking into someone’s home today may be the victim of an equally serious crime tomorrow, just as the person being beaten by a mob tonight might be the vigilante avenger tomorrow. Ethics must not be sacrificed for emotion and it must not be for sale. The leader must uphold these principles.

10. Leader as #1 Cheerleader

Everyone needs encouragement and appreciation. The leader must maintain an optimistic environment for the quest. He or she must utilize positive reinforcement in a variety of ways and often along the way. As chief morale officer, the leader enthusiastically guides partners toward the quest, even as the vision itself is often re-evaluated and sometimes modified.

Conclusion

Finally, and above all, the 21st Century public safety leader must have courage—the fortitude to try new ideas even when there is a chance or even the likelihood of failure. No leader who accomplishes a great vision will be able to navigate the new milieu of the next few years without making mistakes.

Trial and error will be required. Recklessness, of course, is not acceptable, but creative approaches based on solid futures research will be needed in a rapidly changing environment. As leadership/management expert Tom Peters said, "If you're not taking risks, you probably lose automatically. If you try and fail, you always learn something from it" (1992b, p. 4B).

Thus, public safety leaders must make it clear to their colleagues, their constituents, and their partners that they will be as diligent as possible in the vision quest, but mistakes will be made and rectified as the mission and even the vision are constantly re-evaluated and redirected in a rapidly changing and ever-changing society.

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12 Practical Application 4: Optimizing Local Responses to Current and Shifting Terrorist Trends

By Raymond R. Corrado, PhD, and Irwin M. Cohen, PhD

Introducing the Threat

This chapter frames this book with the need for local leaders to think and better prepare themselves for existing domestic, global, and international terrorism policy trends that can affect their communities. This chapter provides a range of themes that focus on the importance of local leaders equipping themselves to lead their teams and organizations through the constantly changing knowledge and skill sets required to anticipate, prepare, and respond to shifting terrorist tactics and locations. To do this effectively requires local leaders to be part of a national and global team of connected professionals to preserve and maintain peace and order in the face of this uniquely evolving form of violence.

In the 21st Century, anti-state terrorists will continue to pose major challenges to police forces and intelligence services in liberal democratic societies, such as Canada and the United States. The most common forms of anti-state terrorism threatening Western European and North American countries over the next several decades are radical religious ideological-based terrorism, right wing ideological terrorism, and issue-based terrorism. Religious ideological anti-state terrorism is the use of violence by an individual or a group to alter the status quo of a state based on a strict and specific interpretation of religious scripture or doctrine, such as the version of Islam demanded by al Qaida, the Taliban, or the Islamic State. Right wing ideological terrorism focuses on race, sexual identity, and immigration issues based on neo-Nazis anti-liberal and xenophobic ideas. These ideological terrorist movements have the goal of restructuring the entire state according their ideologies' principles.

In contrast, issue-based terrorism is the use of violence to change an existing government's policy on a specific issue, such as abortion, animal rights, or economic/business practices that may degrade the environment. However, there is some confusion in distinguishing issue terrorism from anarchist terrorism and anarchist ideological terrorism. The latter often too focuses on the same policy issues as issue terrorism, but the fundamental difference is that the main anarchist ideological terrorist goal is to entirely restructure how all political decisions are made. This ideology rejects national and large regional liberal democratic processes and institutions, and seeks to substitute it for some form of local, community-based or completely decentralized political system.

While these forms anti-state terrorism differ fundamentally in terms of their over-arching political goals, they share several key characteristics that pose substantial policy challenges for individuals, agencies, and departments responsible for the prevention of terrorism, and the apprehension and prosecution of terrorists. In the contemporary period, terrorists, including religious ideological terrorists, are either organized according to the traditional cell structure or the more recent and amorphous “virtual” or Internet-focused organization structure. Both structures are extremely difficult for police/intelligence agents to penetrate and monitor. Moreover, these groups are increasingly becoming more polycentric; rather than having one leader with a strict hierarchical organizational structure, such as was common for the former Irish Republican Army, the Italian Red Army, pre-2001 Al Qaeda, and the Islamic State Caliphate, many contemporary anti-state terrorist groups have more than one leader or are organized under territorial or regional leaders. Given this, it is extremely difficult for counter-terrorist organizations to predict the specific actions of any one branch of the larger organization, or to engage in disruptive tactics by targeting the leadership hierarchy with the goal of causing the demise of these terrorist organizations.

Moreover, certain contemporary terrorist groups have embraced organizational models that have no formal membership structure or lists. Most importantly, with modern communication technologies, such as email and the Internet, individuals can become radicalized and indoctrinated with the group’s ideology, contribute to the group’s finances, help in the recruitment, fundraising, and training of other members, and carry out acts of terrorism without formally being a member of the group, travelling to meet or train with other group members, or having any direct contact with the group’s leadership. For example, individuals could engage in an act of eco-terrorism, such as tree spiking, and claim their actions in the name of some group without having taken any direct instruction, funding, or training from the organization.

As well, several of the major contemporary terrorist groups have engaged in transnational terrorist attacks using a combination of central planning from the leadership structure of the terror group, and conjunction with local, community-based cells from the places where the terror attack is to take place. In contrast, the preeminent or most active anti-state terrorist groups in the 1970s and 1980s, such as the IRA in Ireland, the ETA in the Basque region of Spain, and the FLQ in Quebec, were based on ethic-nationalist issues. These groups, therefore, were typically restricted primarily to operating and recruiting from within their homeland, and, more commonly, limited to specific regions within those countries. However, in the contemporary period, groups like Al-Qaida and the Islamic State, have shown their ability to carry out terror attacks in multiple European countries, the United States, and Canada, even though their main ‘base of operation’ is in the Middle East.

This largely unanticipated change in terrorism trends occurred in the mid-1990s. With the end of the Cold War, several theorists asserted that anti-liberal democratic, ideologically-based terrorist movements, both state and anti-state, no longer appeared viable. The collapse of the Soviet Union and the dissolution of its global empire, along with the Republic of China’s adoption of a

partial capitalist economy, signaled the triumph of global capitalism and the trend towards liberal democratic reforms in former totalitarian and authoritarian countries. However, most theorists underestimated the new trend that had emerged based on religious ideology or extremely controversial policy issues. Individuals from different cultures, languages, customs, and income groups appeared to unite against a common religious-defined enemy or proponents of unacceptable social policy positions, regardless of where they or the enemy lived. Regarding religious ideology, the seminal example involved the Afghan war against the communist national government, supported by the occupying Soviet military. Many of the mujahidin warriors who fought against the Soviets were not Afghans, but Arabs from other countries who came to fight alongside fellow Muslims against the “infidel” invaders. More recently, citizens of several Western European countries, such as England, France, and Belgium, in addition to Canadian and American citizens, have traveled to Syria and Iraq to join the Islamic State or have carried out acts of terror in their homelands on behalf of the Islamic State.

Similarly, highly controversial issues involving either the protection of the environment, animal rights, genetic research, and economic/financial globalization drew thousands of protesters from all over the world to the locations of annual World Trade Organization meetings or G8 meetings. While the overwhelming majority of protesters were peaceful, it became clear that a small number of individuals and organized groups (e.g. radical anarchists) used crowd violence to disrupt these meetings. Unlike in the past, these contemporary groups seemed far less reliant on state sponsorship, extremely well-financed, better trained in the use of violence, better networked and connected to other similar groups, and more violent in their behavior and level of extremism.

A main theme in this chapter is the rapidity of change in the terrorist threat profiles and tactics. Clearly, the 2001 World Trade Centre and Pentagon terror attacks on September 11 in the United States were a turning point in demarcating the emergence of a sustained threat from global Jihadi terrorist organizations, as were the extensive riots in major cities where international organizations held their meetings. The unexpected and, often unprecedented, disruptive effects of internet technology on the lives of individuals and organizations has altered how terrorist groups are structured and operate tactically. A second theme is that terrorist organizations appear to routinely adjust their strategies in response to their perception of the success of specific strategies and tactics. For example, there has been a decisive shift towards terrorists attacking “soft targets” i.e. public spaces with simple weapons, such as knives and trucks/cars. Previously, airplanes and government buildings were obviously symbolic important targets that caused enormous public fear and anger. These critically important symbols were systematically “target hardened” globally with each successive terrorist attack. However, counter-tactics to protect “soft targets” are inherently far more challenging for many reasons to be discussed below. It is because of this constantly evolving climate of heightened risk for terrorism and changing tactics of terrorism that counter-terrorism leaders must understand the current threats, anticipate future threats, and develop new strategies and procedures to respond to and prevent anti-state political terrorism.

Many of the strategies employed by counter-terrorist intelligence services, federal, provincial/state, and local police forces, emergency response teams, and other social services in the second part of the 20th Century have been revised because of the shift in the form and structure of contemporary terrorism. For example, it is not just the availability of Internet technology that contributes to the difficulty in tracking the communication networks among anti-state terrorist cells, but also the type of weapons terrorists might use. Moreover, the ease of international travel allows terrorists to operate transnationally, the cultural/linguistic distinctiveness of many terrorist groups make them much more difficult to infiltrate, the decentralized national anti-terrorist cell structures of many groups, the increasing reliance on sophisticated training and learning curves within terrorist organizations, the increased willingness to engage in extreme forms of violence with the aim of causing mass casualties, and the knowledge that there are likely deeply imbedded sleeper cells that all pose evolving challenges to the state.

In contrast, intelligence and police organizations continue to face the same legal limitations and restrictions that made it so difficult to prevent, for example, the Air India bombing incident in 1985 that originated in Canada, the Sarin gas attack in Tokyo in 1995, and the World Trade Center and Pentagon attacks on September 11, 2001, in Washington and New York City. These limitations include the protection of civil liberties, such as the freedom to express extremist opinions and associate with other such citizens, privacy laws that maintain citizen confidentiality about sensitive information obtained by government agencies, such as taxes, personal mental health information, the fairness of criteria for travel restrictions, such as “no fly” lists, temporary arrest/detention policies, cross national intelligence/police sharing, especially with foreign agencies with different constitutional/legal fair procedures, oversight process for police/intelligence disruptive tactics to prevent terrorist planning and attacks, the use of “agent provocateurs” to investigate potential terrorist cell structures domestically and internationally, and the extent to which a government can monitor the private communication between citizens to assess individual terrorist threats. Despite these continuing and very critical policy concerns and challenges, there is enough information, though limited publicly available research, to identify several persistent policy themes that are important for the leaders of various agencies and organizations responsible for investigating, preventing, responding to, and apprehending anti-state terrorists.

The focus of this chapter is to highlight the need to coordinate the various levels of national intelligence with state and local organizations more effectively responsible for counter-terrorism. The prevention of anti-terrorist plots and the apprehension of perpetrators needs the direct involvement of frontline police officers, customs and immigration agents, intelligence officers, and corrections staff. There is also the further need to include information from service providers who are most likely to be exposed to suspicious potential terrorist behaviors and events because of their daily or weekly routines. Refuse collection, for example, involves individuals who can be informed on how to recognize unusual discarded material associated with weapons making. Similarly, individuals who are in building caretaker roles, such as building

managers and owners, are also in the position to notice the smell of bomb making chemical and unusual visiting patterns. For example, in several of the Brussels/Paris based terrorist cells, building caretakers and taxi drivers had become suspicious of certain individuals connected to the attack prior to the Brussels, Belgium airport and subway bombing attacks.

In a recent publication, (Corrado, Cohen, & Davies, 2016), we examined and described several counter-terrorism institutional approaches to the contemporary threat profile with the focus primarily in the United Kingdom, but also in the United States, Israel, and Canada. Not surprisingly, major shifts in terrorism profiles, strategies and specific tactics caused fundamental institutional reorganization of all key agencies traditionally involved in counter-terrorism. However, despite major differences among these countries, regarding their specific institutional or organizational structures/agencies, such as having a single agency responsible of domestic and international counter-terrorism intelligence roles, such as in Canada, or having completely independent agencies, such as in the United States and Israel, several common policy challenges were evident. Most importantly, while the intelligence/police agencies in all the countries, in addition to others, such as Belgium and France, have been effective in preventing multiple planned terrorist attacks, several fundamental policy challenges emerged based on the few completed terrorist attacks. The three initial challenges were inadequate funding, the need for standardize intelligence gathering across multiple levels of government, and the need to expand emergency response integration, especially with first responders at the local level.

Understanding the Response to the Terrorism Threat

After a major terrorist attack, for example, the 9/11 terrorist attacks in the US, the London subway and bus attacks in June 2007, and the Islamist-inspired ‘lone wolf’ attack targeting the Canadian Parliament in 2015, the restructuring of counter-terrorism agencies, policies, and organizational processes in the targeted countries typically involved substantially increasing the funding available to those agencies responsible for counter-terrorism. The complexity of the rapidly evolving terrorist threat in virtually all of the targeted countries, arguably, outpaced the ability of these countries to provide both sustained funding and an increase in funding where needed to fully implement the specified organizational changes.

In the US, for example, a persistent complaint across several administrations has been the Department of Homeland Security’s inadequate funding of frontline agencies. Local police forces were often and indiscriminately provided with unneeded resources. In effect, little consideration was given to the specific resource needs at the local level based on the actual terrorism threat profiles. So, while some jurisdictions were given funding to buy large military vehicles, funds for sustained intelligence gathering and information sharing, and continued or upgraded training at the local levels appeared to be inconsistent and inadequate, with some exceptions, such the New York City Police Department. Inadequate training and the lack of communications integration of first responders, including firefighters and other emergency service providers, was also a constant policy accusation. Additionally, the extensive use of private

security forces at highly vulnerable sites, such as chemical plants, nuclear facilities, hydro dams, train networks, bridges, tunnels, computer networks, airports, ship container ports, and banking and security markets, also required more training and communication integration into counter-terrorism agencies' intelligence and command networks.

There were other major examples of inadequate funding and training in the areas of individual threat assessments, multi-agencies' communication of identified threats, coordinated monitoring of known and highly suspected terrorist were demonstrated during successfully executed coordinated multi-site bombing attacks by terror groups. Examples included the coordinated attack against Madrid's commuter trains in March 2004 that resulted in the deaths of 191 people, and the more recent series of large casualties and devastating attacks since 2014 in London, Paris, and Brussels. As discussed above, terrorist tactics shifted to the current trend of choosing "soft" civilian targets, in part because such sites are so difficult to monitor and provide a 'target rich environment', given their routine and dense population traffic. The success of these attacks demonstrated, in part, the difficulty of coordinating national level intelligence information that, in the case of the Madrid attack, apparently, suggested that a Moroccan-based cell network was planning an attack somewhere in the Madrid area. Similarly, the attack on the World Trade Center on September 11, 2001, exemplified the trend toward soft targets. Evidence suggests that there were some significant intelligence indications prior to September 11, 2001, that al Qaida was in the operational stages of a large terror attack inside the United States. Again, logistical challenges, funding limitations, jurisdictional disputes, and the lack of communication between and among various local, state, and national agencies appeared as common policy themes for all these attacks. Most critically, key information that might have prevented the attacks was not appropriately analyzed (i.e. threat level assessment, monitoring/surveillance and disruption tactics) and distributed to allow for a coordinated response implementation plan. In their defense, counter-terrorism agencies officials, most recently in Belgium and in France, but to a lesser degree, explained that funding levels and legal impediments to sharing information with other local, national, and international agencies inhibited a coordinated case analysis and prevention plan to potential disrupt the terrorists. Even in the United Kingdom, where multi-level and cross ministry/agencies integration policies have been institutionalized to a greater degree, the funding theme was evident. The London Municipal Police and other larger municipal police agencies, such as Manchester, pointed out in June 2017, according to Katrin Bennhold of the New York Times, that their intelligence services estimated that there were 20,000 individuals assessed as persons warranting some level of concern, 3,000 who had reached a higher level of threat concern, and 500 who reached the highest threat level for planning and conducting a terrorist attack (New York Times, June 2017). Apparently, enough funding and resources were available only for the highest assessment-level individuals.

There has been a large increase in individuals considered potential terrorist threats in the United Kingdom and Europe primarily due to the emergence of the Islamic State in Iraq and the Levant (ISIL) in 2005 and the creation of the ISIL caliphate in parts of Syria and Iraq. ISIL is unique as an international terrorist organization as it is geographically close to Europe, and its ability to

recruit thousands of mainly younger males from nearby Muslim countries and from Muslim communities in Europe and the Caucuses region of the former USSR. Very importantly, it established formal institutional governmental structures to identify, train and return Jihadi terrorists back to their home countries. The typical sequence was to set up cells in these countries and then to carry out multiple and sophisticated attacks, such as those in Paris and Brussels in 2015. The structural counter-terrorism challenge posed by ISIL, especially for European counter-terrorism and law enforcement agencies is to identify and monitor the potential pool of Jihadi susceptible individuals, primarily younger male adults, in the large and growing Muslim communities inhabited by first and second generations of immigrants. A large minority of individuals in these communities experienced cultural transition challenges, under education, high unemployment, police discrimination, and disproportionate involvement with the criminal justice system. Jihadi religious leaders and some mosques also provided exposure to the Jihadi ideology justifying martyrdom in defense of the universal Muslim community or Ummah in confronting both cultural attacks and war against Muslims in the caliphate and other Muslim nations.

This European context explains the thousands of individuals in many European countries, especially France, Germany, Netherlands, and the United Kingdom, who, in some manner, express interest in Jihadism. This poses an enormous challenge for counter-terrorism agencies who must identify, conduct violence risk assessments, monitor, disrupt, and confront individuals or groups of actual or potential Jihadis within massive populations in each country. In Scandinavian and North American countries, this scale challenge is far less severe, but still exists. In Canada and the United States, historically, immigrants have settled typically in more ethnically homogeneous neighborhoods or broader communities. For example, Somalian Canadians disproportionately live in Ottawa and American Somalians have concentrated in Minneapolis-St Paul, Minnesota neighborhoods. Given this, it is not surprising that many of ISIL's American recruits and a few returnees were from this city and state. Another policy challenge in every country is understanding the radicalization process to aid counter-terrorist agencies in identifying the extent of an individual's risk and to determine whether an individual can be deterred through deradicalization programs.

The focus of this section has been on the Jihadi threat profile; however, as mentioned in the introduction, the general terrorist threat profile includes right wing ideological and issue terrorists too. There is a much more extensive policy history regarding these threats, especially in North America. The trends for both types of terrorist groups and individuals has been a kind of ebb and flow where certain political policies and events triggered or instigated a series of violent acts. For issue terrorists, several of the outstanding issues have been mitigated by laws, for example, the increase in animal rights as it relates to testing medicines and cosmetic products on animals, and the more elaborate protection of the environment. Nonetheless, global warming issues and the role of large multinational corporations in extracting, transporting, and the continued burning of fossil fuels provide a potential policy flash point for related issue terrorist organizations. Similarly, the broad non-violent issue movements concerned with reducing the

wealth gap between the top 1% and the lowest 40% in advanced industrial liberal democratic countries has provided violent anarchists a relevant contemporary issue. These non-violent issue movements typically fluctuate depending on their ability to mobilize votes and the implementation of favorable laws and policies. When these movements fail, or are confronted in public protest contexts by hostile opposition groups and police order maintenance, violent anarchists have typically viewed these counter movement events as a justification for their anti-state terrorism. In the past, potential targets have included international banking institutions, corporate leaders, police in riot control situations, businesses, and other symbols of excessive wealth accumulation. As mentioned above, the related policy challenge is the increased use of the Internet to set up virtual cell organizations, whereby issue terrorists can initiate, plan, cooperate, and engage in terrorist acts with minimum contact. Using the 'Dark Web' for anonymity has become a contentious political issue in liberal democratic countries. Counter-terrorist and police agencies typically have asserted that detecting and preventing individuals from all the above ideological terrorist organizations has become increasingly difficult if not impossible given the encryption technology associated with the 'Dark Web'.

From a resource perspective, intelligence and police agencies have had to implement recruiting policies that attract individuals who have specialized training, such as computer science degrees, crime analyst skills, and language skills. A related trend is the outsourcing of this function to private contractors or companies that have the capacity to use sophisticated internet search programs and "big data" mining of large intelligence and police databases. The intelligence and crime analyst roles need skill sets in applying known terrorist crime patterns and profile screening instruments to identify and classify suspected terrorists based on threat levels. For example, one profile might consist of younger males who have extensive criminal records, prison records, exposure to Jihadi recruitment, and associations with neighborhood informal criminal groups. Another terrorist group profile characteristic, especially evident in the European context, has been multiple family members and close friends as a recruiting method. In other words, in addition to the power of the Internet in radicalizing and recruiting Jihadists, this overwhelmingly happens in the context of knowing someone already associated to a terror cell or the larger group.

A related set of persistent policy challenges has been the limited accuracy of terrorist threat assessment instruments and organizational difficulties in obtaining and sharing the information needed to validly utilize such instruments. To date, several post-terrorist attack reviews indicated that the perpetrators had been interviewed, often several times, and were classified as not warranting closer surveillance. For example, Omar Mateen had been interviewed by both police and FBI officials on multiple occasions in the Orlando, Florida area before the extensively planned 'lone wolf' night club attack in 2016 that took the lives of 49 people. This assessment process is resource intensive requiring validated assessment instruments, as well as highly trained and experienced profilers. Equally important, the information needed for such an assessment requires the cooperation of multiple agencies, and the ability and willingness to constantly update the information to account for evolving threat characteristics, such as changes in personal

relationships breakdown, loss of employment, unfulfilled personal goals, or the intensification of mental health disorders. Despite the increase in information sharing and coordination across different levels of government agencies and between government agencies and non-government organizations since 9/11, the sharing and coordination of information and intelligence continues to be a substantial challenge.

A specific crime increasingly becoming associated with terrorist networks is passport and other identity-related fraud. A contentious issue in the *Homeland Security Bill* in the United States has been the ease with which terrorists have been able to obtain state driver's licenses, which then allow their acquisition of other key identity-based documents, jobs, and even access to vulnerable target sites. A related controversy is whether a national identity card would assist local police agencies to more effectively identify suspicious individuals involved in criminal activities related to terrorist activities.

Given the above complicated terrorist trends and the predicted future trends, such as continued immigration through Mediterranean coastal countries to Europe), training and information update sessions for all police and related agencies remain an important policy imperative. The policy controversies, particularly in Belgium, Germany, France, and the United Kingdom, involving immigration from the Middle East, and parts of Africa and Asia, into primarily European and North American countries directly involve frontline police officers who have a critical role to play in lawfully monitoring all potential criminal threats in communities where immigrants congregate, such as the Molenbeek section of Brussels, Belgium. Patrol officers, police gang unit officers, corrections officials, parole officers, community social workers, teachers, and religious leaders all are in the unique position to notice individual and even group level threat behaviors associated with the broad array of potential pre- and post-attack terrorist activities.

While the potential terrorist threats involving major immigration flows have not been as immediate and overwhelming in other liberal democracies, such as Australia, Canada, the United States, and Scandinavian counties, there have been major terrorist incidents in all of them, which indicate a continuing serious terrorist threat profile. For example, Anders Brevik, who killed 77 people on July 22, 2011 in Norway, appeared to be motivated by a neo-Fascist racist ideologically focused on the Islamization of Europe. In many liberal democracies, mosque officials have contacted local police agencies or special community police liaison officers to report threatening behaviors. For example, a mosque official in a London community with a large Muslim population reported the odd behaviors of one of its members, Khuram Shazad Butt, to local police prior to Butt's participation in the Jihadist trio, claimed as members by the Islamic State, that used a van to attack people on the London Bridge, and then used knives in an immediate entertainment district in the spring of 2017, resulting in the deaths of eight individuals with 48 others being severely injured, including four police officers. Butt was a well-known public figure in his community, to the local police, and to the intelligence services for his Jihadist ideology. He was even filmed in a documentary where he took part in an Islamic State flag

ceremony in London. Mosque officials claimed that they reported his increasing violent threatening behaviors to the local police. According to police and intelligence officials' media statements, their apparent on-going threat assessment of Butt did not warrant complete surveillance or a disruptive intervention. Of course, given secrecy requirements, there was no further elaboration about how this assessment was made.

The Elements of a Proactive Leadership Response to Terrorism

Despite the above examples where community-police liaisons did not facilitate an accurate threat assessment, all counter-intelligence and police agencies have asserted that many other such contacts assist in preventing major terrorist attacks. However, there appeared to be a consensus among analysts that the ability of groups, like the Islamic State, to plan and execute the attacks in Paris and Brussels in 2016 can be explained by the absence of an intense, proactive leadership policy strategy. A key police and intelligence challenge has been how to respond to simultaneous attacks, closely successive attacks, or attacks in populated public places when the attacks cause chaos and confusion, and multiple agencies have distinct counter-terrorism role responsibilities. For example, the Charlie Hebdo terrorist attack in 2015 involved two brothers and the attack on the following day involved a single individual; however, at the time it was not clear whether the same cell or multiple cells were involved in these attacks. Arguably, intelligence challenges affected how the police approached the two events, and whether a more directly aggressive set of tactics could have been more effective at reducing casualties.

To avoid this type of confusion, it is recommended that there be periodic joint training exercises. This routine training necessarily will have to include an understanding that the role of officers and agents at the local level requires a fundamental shift in investigative and reporting tactics to ensure that information security needs are not compromised. In the Air India case and the World Trade Center and Pentagon attacks, a common theme that emerged was that sufficient trust did not exist, not only between multiple national agency personnel, but also downward to the local police level. The critical importance of this connection should, therefore, become a part of the routine training of all levels of intelligence and policing. The fact that terrorist networks/agents often conduct their fundraising, communications, and weapons procurement and training at the jurisdictional level of the line police officer further confirms the need to train these individuals accordingly.

Equally important, by including local police and frontline workers in anti-terrorist training and routine information update sessions, the administrative groundwork is created to assist in the standardization of emergency responses to terrorist attacks. Several key themes along these lines emerged from the major terrorist incidents over the past several years.

Rumor Management

First, typically rumors or pieces of information about potential targets percolate through to intelligence services and even to local police agencies. Such target or incident rumors need to be

the focus of emergency-response preparation scenarios. In other words, beyond the need to establish response procedures to all ‘soft targets’ based on the assumption that terrorist organizations have largely focused on such targets for their major attacks, it is necessary to review and update the most recent rumors about specific targets and to ensure that all individuals within the jurisdiction are aware of the information and must respond if the need arises.

Scenario Planning

Emergency-response scenario planning should include an examination of a worst-case scenario. In addition to training on how to respond to an individual attempting to board an airliner with explosives or a suicide bomber who attacks a restaurant, leaders must be prepared to react to terrorist scenarios that involve mass casualties and/or large property damage. These examinations are important because, while the level of lost lives was large (World Trade Center attacks, bombings in Bali and Madrid, and the disrupted millennium plot launched from Canada targeting Los Angeles International Airport), these attacks and others were intended to result in a much larger loss of life, injuries, chaos, and public panic. In these instances, confusion and misleading public pronouncements can lead to delayed police response in identifying, tracking, and arresting the terrorist network involved.

Given that people who plan terror attacks commonly require a significant period of time to coordinate and execute a successful attack, it is possible to not only develop strategies to prevent the attacks, but also emergency response scenarios in case an attack is successfully completed. Moreover, these responses do not need to be based on theoretical assumptions about the tactics and techniques of terrorist organizations, but should be based on previously known emergent or completed attacks.

Open Emergency Site Access

Most critically, the strategy priority for leaders responsible for responding to a terror attack is to keep open emergency access to the attack site or sites. Ambulances, fire services, wreckage removal vehicles, and investigative agencies need rapid access to the site of a terror attack. In fact, these people must have quick and easy access to the location regardless of whether secondary threats exist, such as delayed time bombs and chemical or biological contagions. Coordinated police, fire, health, and chemical/radiological personnel and technology, to name just a few, need to quickly assess further threats and report to the police and health command center for a secondary response scenario. This would likely result in a need for multi-site hospital access to emergency rooms and the capacity to respond to and neutralize the spread of potential bio-chemical radiological contagion beyond the original attack site.

Real-Time Emergency Site Intelligence

Simultaneously, plans that include an overview of the attack zone are paramount to allow the emergency response command center an immediate understanding of the access choke points

for emergency vehicles. This is important because prior terror attacks have indicated that terrorists sometimes consider the route that emergency vehicles might take in response to an initial terrorist attack and attempt to carry out secondary attacks along that route to delay a response to their initial attack or to cripple a city's capacity to respond.

One of the ways to provide this vital information to the command center is to have access to and a strategy for using helicopters or other airborne vehicles with police video to not only survey the primary attack zone, but to provide an overview of the access points that emergency responders can use to reach "ground zero" in a timely and efficient fashion. Another strategy might be to follow the example of Britain, which is a leader in utilizing strategically located video cameras to monitor public spaces. While controversial in terms of civil rights and privacy issues, technology, such as ground-based video monitors, can be an integral part of the command center's assessment of second-stage response strategies. These cameras could provide immediate, site-specific information that could prove extremely useful in making decisions about the deployment of emergency personnel and police—including those from other detachments or cities—into the perimeter areas of an attack, based on the specific type of security and health needs and threats.

Modern Equipment for Terrorism Combat

Counter-terrorist leaders need not just the funding and the training to be effective, but must also be allocated the most modern and needed equipment to combat terrorism. In addition to providing equipment, the appropriate training to use available technology is vital for a command team. This training should include annual multiple-scenario training exercises at a national center, since there is considerable emergency response experience available to establish and maintain such a training program. By having a national center, police-based and other emergency-response teams will receive the standardized training necessary to access state/provincial and federal/national resources and adapt them to the local-level resources accordingly.

Communications and Detailed Plans for Multiple Agency Response

An important lesson from many recent terror attacks is the need for a secure communication capability during an escalating chaotic scenario. At the most elementary level, police and related emergency personnel need to be trained, equipped, and prepared for multiple contingencies and in the context of a significant interruption of communications with a central command site. Leaders must be developed who have the training and skills to respond to multiple and escalating events, at times without the guidance of a central command site, and who have the capacity to act quickly in both directing and coordinating on-site personnel and accessing additional resources, including national intelligence and military resources.

Information from the investigations into the 9/11 attacks, for example, is replete with fundamental communication problems across multiple national agencies, as well as among state

and local agencies. Simply put, the inability among the large number of agencies and departments responsible for counter-terrorism locally, nationally, and internationally to access common computer information systems can hamper prevention initiatives, threat assessments, and real-time responses to impending and successful attacks.

A review of the national and international community's capacity to prevent and respond to this transnational terrorist attacks revealed a vastly uneven response capacity, not only between countries in Europe and North America, but also within these countries. For example, certain jurisdictions have established extensive and detailed plans regarding multiple-agency emergency responses to terrorist attacks, while in other areas, minimal plans exist.

Worst Case Scenario Strategic Planning

Worst-case scenario planning is warranted given the damage trend indicated in the recent spate of urban-focused terrorist attacks. As well, there are enough warnings that some terror groups, like al Qaida and the Islamic State, continue to pursue acquiring chemical, biological, and radiological weapons. This fact alone requires a new way of thinking and training about terrorism. First responders must be trained on how to identify and respond to biological, chemical, or nuclear attacks, and the organizations responsible for counter-terrorism must increase their coordination and information sharing so that "street-level" information can filter up the chain of command effectively and efficiently to prevent an attack. In addition, it is incumbent on police and other leaders to acknowledge the trend whereby major terrorist organizations learn from both their failures and successes. Given this, scenario planning and related training exercises need to include detailed reviews of future vulnerabilities based on the anticipated ability of terrorists to adapt to their failures.

For example, once it became obvious that access to planes by young Middle Eastern males would be far more limited than prior to 9/11, the use of non-Middle Eastern males and even females, such as the Black Widows of Chechnya in their suicide bombing of Russian planes, occurred quickly. Once these avenues become more difficult, groups switched to attacking 'softer' targets, such as people in crowds using vehicles and knives. It would be a fundamental mistake for counter-terrorism leaders not to expect that contemporary terrorist organizations include highly educated and motivated leaders and individuals who spend considerable energy and resources studying how best to attack targets, given the inevitable intelligence and police planning responses to past attacks.

Clearly, scenario planning and training would have to be restricted to certain police and other security officers because of security/intelligence needs. Nonetheless, without information sharing and joint tactical and response training, it is difficult to understand how to train for emergency response scenarios at the critical site level of any potential attack. In other words, it will be up to senior police and intelligence officials to work out the arrangements whereby specific threat information is not shared until the proper time, while general emergency-response scenarios based on past threats are shared.

Beyond their emergency-response scenario discussion, there needs to be a more aggressive police leadership movement to coordinate horizontally with other police detachments and other emergency response agencies, such as the military, coast guard, fire departments, and hospitals. Within each police organization, there should be a dedicated senior officer responsible for coordinating and planning development, training, and information sharing. Once a plan is developed, it should be reviewed annually and on an *ad hoc* basis when intelligence information indicates either an unanticipated or unprepared scenario or an imminent threat that would require an immediate preparation strategy. As indicated above, several worst-case scenarios would require an immediate response from adjacent police agencies to assist the police from the attack-site city. It is anticipated that a major city would most likely be targeted since the highest profile soft-targets are usually located there, such as financial centers, port facilities, and transportation hubs.

In addition to sharing planning scenarios, it is imperative that emergency communications networks and resource-sharing occur rapidly. Obviously, the ultimate decision to coordinate among municipalities is a political decision involving a variety of people and organizations at different jurisdictional levels of government. Still, police leadership is in the position to provide the information needed to inform the civilian political leadership. Unlike the emergency-response coordination in a centralized parliamentary system like Britain, federal systems face far greater challenges.

As indicated above, one major difficulty is funding, especially in the utilization of expensive technology and additional staffing. Political considerations can seriously hamper intelligence and police forces' abilities to secure adequate funding. Nonetheless, there is enough evidence and experience to support a policy of distributing additional funding dedicated to preventing and responding to current and future terrorist threats. At a minimum, there is the immediate need to establish a national center in Canada, the United States, and Western European countries for coordinated leadership training in scenario planning.

Vulnerable soft-targets, such as chemical labs, nuclear facilities, and container port facilities, require, at least, the latest high-tech surveillance technology to assist the local police and private security to monitor access to such sites. Computer technology is essential to instant information sharing, planning, and emergency response. In effect, counter-terrorist leadership should coordinate at all levels to utilize information technology in responding to the challenge of contemporary terrorism. For any counter-terrorism strategy to be effective, there is the immediate need to adjust the training of local police officers to include standard courses on the investigation of terrorism, how to conduct a satisfactory threat assessment, techniques to monitor threats, emergency response training, trends in terrorism, information sharing protocols, and what to do in the case of a terror attack.

Conclusion

While contemporary terrorism is a global phenomenon and most commonly is responded to by the national government, the prevention of specific acts of anti-state terrorism and being first to respond to a terror attack commonly falls to local agencies. In preparing for current and future trends in counter-terrorism, leaders must ensure that these local agencies are properly informed, trained, funded, and equipped to combat terrorism.

With these trends and urgent needs to fund and equip local agencies in mind, it becomes clearer that it is also important that leaders be better prepared to lead teams that will engage in continuous improvement processes and engage in organizational learning methodologies that will allow their personnel to keep pace or even be ahead of the changes that emerge with each new trend in the terrorists' arsenal.

The remainder of the chapters in this book purport to equip leaders with comprehensive skill sets that can be a strong foundation upon which to build from the first day that officers begin their training in various academies around the globe. Furthermore, not only do new recruits need to be trained, but the leaders with whom they do their field training must also be prepared so that as rookies enter the field, they can be fully prepared to be operationally sound in implementing complex and even creative interventions during sometimes turbulent or even tragic terrorist events.

13 Practical Application 5: Putting Skills into Action: Creating the Inclusive Workplace

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Into the Eye of the Storm

Law enforcement today is more than complex than it has ever been. Traditional definitions of community are rapidly changing, with communities becoming increasingly created and connected in a digital world. Advances in technology have also brought about new offences and new ways of committing them, resulting in many crimes taking place off the street. Add in a more mobile global population, heightened budget concerns, increased scrutiny from the public, and a new generation of personnel who are far more demanding of a workplace that is fair, transparent and democratic, and you have the perfect storm. To be successful in this new reality, leaders need to create more effective recipes rather than simply adding more cooks.

I am not just referring to recruiting more diverse people, as we know that diversity alone is not enough. If diverse perspectives are not valued, individuals with a diversity of backgrounds and experiences will simply be assimilated into the existing culture. Instead, leaders need to genuinely embrace diverse perspectives and to create an internal environment that values, appreciates and leverages the best of all people, not just a select few.

Building on the many transforming leadership skills discussed in earlier chapters of this book, in this chapter I introduce the inclusive workplace and why it matters, followed by an introduction to an organization development model that illustrates the evolution from an exclusive or inactive state to one of inclusion. I conclude this chapter by discussing how a leader's actions can influence a shift toward a healthier work environment.

The Inclusive Workplace

In my recently published book, *Inclusive Policing from the Inside Out*, I describe an inclusive workplace as one that values, embraces and leverages the differences that each person brings. This includes the traditional visible differences as well as anything that makes each person different, such as their experiences, perspectives and how they process information.

In an inclusive workplace leaders demonstrate trust in and empower employees, they seek their input, they communicate honestly and clearly about decisions that have been made, they provide

timely feedback, and they apply policies and practices in a fair and consistent manner across all situations.

More specifically, an inclusive workplace is characterized by heterogeneity not homogeneity, full integration not assimilation, and is one where all employees are similarly connected to the organization and its goals, and have fair access to opportunities and positions of power. This is not about white men losing out, this is about creating a workplace in which every person (no matter their background) can do their best work.

Where diversity has typically been about counting certain types of people; inclusion ensures that all people count. Inclusion is about engaging employees in key organizational processes, such as having access to information, being connected to co-workers, and having the ability to participate in and influence decision-making (Miller & Katz, 2002). Inclusion also means there are fewer status differences and less conflict between groups.

A necessary condition of an inclusive workplace is that employees feel safe to be themselves, to propose new ideas and to bring up tough issues. Amy Edmondson of Harvard Business School describes psychological safety as a sense of confidence that people will not embarrass, reject, or punish someone for speaking up and that it is safe for people to express their thoughts and feelings.

Why Inclusion Matters

Creating inclusive workplaces is important for law enforcement for many reasons. Workplaces that structure themselves to encourage contributions from all employees are more likely to have frank discussions and make better decisions. They are also more likely to have increased employee satisfaction, performance and retention, and higher levels of team trust (Workman-Stark, 2017).

Given the challenges of today's reality, law enforcement departments require new ideas and new ways of doing things, as they can no longer rely on strategies that might have worked in the past.

By supporting employees and encouraging their diverse ideas, law enforcement leaders can avoid narrow-minded thinking and be more open to the possibility for positive change. For example, employees from a diversity of social backgrounds provide for a better understanding of culturally unique communities and situations. This level of diversity offers a variety of perspectives that can be leveraged to enhance problem solving, decision making, and foster creativity (Cox, 1993).

Continuous Improvement

Recently I had the pleasure to meet Jacki, an acting Inspector (equivalent of the rank of Lieutenant in the US) responsible for Major Crimes in a policing agency in Canada. Through discussions with Jacki and members of her team, it became abundantly clear that Jacki had

worked to create an inclusive team environment in which everyone felt valued and had fair and equal access to opportunities. Because Jacki treated everyone fairly and respectfully there were no obvious status differences between members of the team, which contributed to a high-level of mutual trust.

Team members experienced a strong connection to the group and its purpose and were actively involved in making ongoing improvements. Jacki and her team were recently recognized as an example of *continuous improvement in action* through their efforts to continuously learn and adapt. As Jacki's situation demonstrates, a fair and supportive climate can contribute to increased innovation and creativity, greater team cohesion and improved team performance.

Increased legitimacy

Diversity and inclusion are not only essential for enhancing creativity and improving law enforcement effectiveness, they also represent an important opportunity to enhance police legitimacy—the trust and confidence members of the public have in the police to perform their duties.

Increasing the diversity of officers while at the same time valuing differences, can increase trust between the police and the public as it demonstrates respect, fairness and an appreciation for differences.

Through the practice of inclusion, focus is also placed on two key aspects of organizational justice: distributive justice—making sure that all employees are fairly recognized and compensated for their work, and procedural justice—making sure employees have a voice in decision-making processes.

Researchers Monique Marks and David Sklansky, both widely published on policing and police reform, suggest that officers are more likely to respect and protect citizen rights if they themselves are afforded those same democratic rights within the workplace.

What this means is when leaders promote a fair, inclusive and supportive workplace, officers are more likely to adopt organizational values and be motivated to act in ways that are consistent with these values. By treating organizational members fairly and respectfully there is a greater likelihood that members of the public will be in turn treated in the same way.

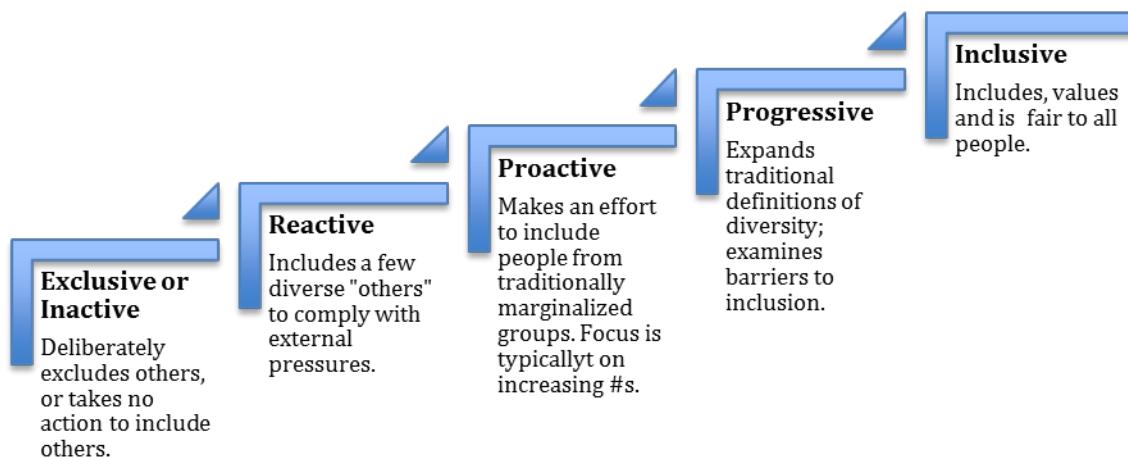
For organizations that have faced or are facing gender and other types of discriminatory lawsuits, the costs of exclusionary practices can be highly public, expensive, and cause severe reputational damage. Therefore, creating an inclusive workplace is not only important for gaining community support, and preventing dollars from going out the window; it may also be a way to positively position the organization to attract new recruits.

The Inclusion Continuum

Becoming an inclusive workplace does not happen overnight. As most organizations working through this process can attest, it involves significant effort to create cultural change, often over an extensive period of time.

There are a variety of organization development models that describe how organizations might evolve over time to become more inclusive. The inclusion continuum, depicted below, was derived from a review of existing models and from my experience in creating inclusive workplaces.

The inclusion continuum is a simplified version that illustrates an organization's progress from a purely exclusive or inactive state to one in which values, appreciates and is fair to all people. In reaching a state of inclusion, traditional barriers to inclusion have been removed and diversity is reflected at all levels and across all functions.



Exclusive or Inactive Organizations

Organizations that are in exclusive or in an inactive state, either deliberately exclude non-dominant group members or they take no action to promote diversity and inclusion. If diverse members are hired it is often due to chance rather than any specific effort to recruit them. They are still expected to conform to the values and norms of the dominant group.

Additionally, within the traditional dominant group, those who are deemed a weak fit may also be excluded or isolated from the group. This may include men who are smaller in stature, do not participate in certain sports or have other similar interests, or do not drink.

Until the latter half of the 20th century women and minority group members were largely excluded from careers in law enforcement due to perceptions that it was an occupation for men only – particularly men who were white, heterosexual, and high school educated (Mor Barak,

2000; Paoline, 2003). In some cases, even men who possessed advanced education were also excluded for being different from the norm.

Reactive Organizations

Organizations that enter a reactive state may do so in response to lawsuits, federal or state regulations, or social pressure from external stakeholders. As such, their efforts tend to become compliance-driven, with their primary actions focused on counting people from narrowly defined identity groups, including and women and racial/ethnic minorities. *Outsiders* are also expected to be assimilated into the existing climate; and there is no effort to adapt and embrace diverse individuals.

Diversity and inclusion experts Frederick Miller and Judith Katz describe both the inactive and reactive states as internal climates in which *who you know is more important than what you know*, there is a denial of difference (uniformity and conformity is expected), there is significant pressure to fit in, a fear of speaking up, and a *sink or swim* approach to proving oneself.

Proactive Organizations

In the proactive state, organizations have moved beyond compliance to a genuine effort to include others from traditionally marginalized groups. However, there is still a lack of appreciation of the advantages that diverse individuals can bring to the workplace. What may result is that women and minority officers are pigeonholed into specific roles based on narrow views of how they might contribute.

For instance, black officers may be assigned to patrol predominately black neighborhoods only, or female officers may be placed in sex crimes units based on perceptions that women are better suited for these positions than men. In other cases, women and minority officers may be assigned to roles that are undervalued and that do not provide the necessary operational experience for promotional opportunities. Furthermore, due to a tendency to focus on strategies that are more about counting certain people, complaints of favoritism, reduced standards or reverse discrimination may be heard from those in the dominant group.

Some of the backlash may also be attributed to perceived identity threats. The presence of less physically strong women or even gay men, for example, challenges the norm that policing requires physical strength and *real men* to successfully fulfill the requirement of the role. Male officers, as members of the dominant majority, may feel a sense of threat and hostility toward *out-group* members who are perceived as *encroaching* on their terrain (Cortina, 2008).

Relying on traditional diversity practices may benefit women and minorities but are likely to be perceived as threatening to majority members, thereby leading to a hostile working environment and conflict among employees. This situation can be further exacerbated if diversity initiatives

are introduced in an environment where there are existing concerns for fairness. In other words, practicing diversity without inclusion does not work!

Progressive Organizations

Progressive organizations recognize diversity as much more than gender, race, age or sexuality. They value the differences in all people, and effectively leverage these individual differences in support of the organization's mission (Jayne & Dipboye, 2004).

Organizations in the progressive state appreciate that all employees deserve a fair opportunity to fully participate in and contribute to their workplace. Therefore, their strategies are equally focused on valuing and supporting existing employees.

To move into the progressive state, leaders need to look beyond symptoms of discrimination and harassment to understand the systemic barriers that have precluded some people from being able to fully contribute to the workplace.

This may mean confronting the role of gender in law enforcement and how this may have reinforced existing biases and stereotypes. Another essential step is to examine relevant policies and practices to identify additional barriers to inclusion, and to develop strategies to reduce them.

As leaders work to develop, widely communicate and implement an inclusive workplace strategy, their efforts are simultaneously directed at creating a safe space in which employees can speak up about tough issues and have these issues addressed. This is not solely about employing a heavy-handed approach to holding violators accountable. It is likewise about restoration. If the organization has launched a cross-functional continuous improvement team, the chances of success in making the transition to inclusion can be improved because the team often has a strong influence with both management and the "rank and file".

Inclusive Organizations

At this end of the continuum, diversity and inclusion are part of core business and are not viewed as obstacles to be overcome or conditions to be managed. The process of inclusion has effectively changed everything—how power is distributed, how decisions are made, how performance is assessed and rewarded, and how people work together.

I am not aware of any law enforcement organizations that would be characterized as inclusive. While some services may have areas that are still largely exclusive, I suggest that the majority of law enforcement organizations are operating in the proactive state.

Encouragingly, there are a few examples of services that are actively moving into the progressive state. The Australian Federal Police (AFP) is one of them. Not only are the AFP looking at the barriers that have prevented some people, mainly women, from being fully included in the

workplace, they are also working to create a safe and supportive environment where people can share their experiences and others can learn from them.

Asking the Tough Questions

There are numerous examples of men and women who have rewarding and positive careers in law enforcement. However, for many women, minority group members and even some white heterosexual men, there are barriers that continue to prevent them from being fully included in the workplace.

To undertake meaningful change, police leaders need to demonstrate courage and ask the tough questions about themselves and about the team or teams they are leading. I fully understand how difficult this step might be as the internal environment is not necessarily open to information that might indicate a weakness. But without asking the right questions, leaders are operating in a vacuum.

The consulting process described in chapter six referred to the importance of assessing needs, wants and problems as a first step in the organization development process. It also described the transforming leadership skills of conducting informal and formal assessment processes.

Although it is more difficult to initiate a process that might identify things we need to change as leaders, asking questions is an important means of better understanding the current state.

How do people perceive and experience the workplace? Do you feel that they can be themselves at work or do they need to hide parts of who they are to fit in? Are they able to make suggestions about doing things differently or bring up tough issues without being ridiculed or facing repercussions? Are they able to learn from mistakes or is the climate one where mistakes are held against them? Do people perceive they have fair access to opportunities or do they believe they need to work harder than anyone else to prove themselves?

What behaviors tend to be valued the most? For organizations that are at the lower end of the inclusion continuum it is more likely that displays of emotion (other than anger), showing weakness or vulnerability, admitting to mistakes or not having the answer would be frowned upon.

Research has also shown that performance cultures, commonly found within law enforcement, cause people to focus on proving rather than improving competencies, and to deliberately avoid any evidence of incompetence (Edmondson 2003). The outcome is a tendency to focus on blame rather than learning from mistakes.

Given the masculine nature of law enforcement, proving competence is often equated to proving masculinity. Therefore, there may be intense pressure for officers to conform to a masculine identity, even if they are women (Ely & Myerson, 2010).

These questions are only a sampling of the types of questions that should be included in an initial assessment process that can provide a better understanding of the factors that are getting in the way of inclusion. A more detailed outline of an organization assessment can be found in chapter seven in, *Inclusive Policing from the Inside Out*.

Leaders Go First

If organizational culture is a means of influencing people to behave in certain ways, and if a key responsibility of leadership is to create, manage and even change an organization's culture, then leaders need to examine and change their own behaviors first.

Through my research and work with organizations I have become increasingly convinced that personal biases and stereotypes represent the greatest barriers to inclusion. Therefore, an essential starting point for leaders is to recognize their own blind spots or biases, and how these may affect judgments that are made about people.

In their book, *Blind Spot: Hidden Biases of Good People*, authors Mahzarin Banaji and Anthony Greenwald, suggest that all people possess a certain lens that helps them make sense of situations and individuals; however, it can also lead to blind spots. These blind spots can narrow a person's vision and interfere with the ability to make fair decisions.

In the absence of information, our tendency is to place people into different categories based on certain characteristics, such as gender, race or age, which can trigger stereotypes based on our beliefs and expectations about members of a certain group. For example, common gender stereotypes prescribe that women should be weak, emotional, nurturing, and best suited for traditional *female* roles in the workplace, whereas men should be strong, dominant and competitive, and are perceived to be better suited for physical jobs and leadership positions.

If leaders allow these biases and stereotypes to be activated they end up judging people simply by their membership within a specific social group rather than by who they are and what they bring as individuals.

The belief that women are less committed at work than men, may cause a leader to make the same generalization about a female employee and not provide her with the same developmental opportunities as a male colleague.

Similarly, if a hiring manager believes that men are more suited for traditional law enforcement roles, based on their perceived physicality and emotional stability to do the job, this may lead to the exclusion of women and less physically strong men.

During recent work with a police service's senior leadership team, it became quickly obvious that biases about other people on the team would often cause some team members to impugn negative motives to others, even in the absence of any evidence to suggest their actions were

anything but well-intended. Because there was little effort taken to understand and minimize these biases, the ideas and opinions from certain people continued to be ignored, thereby limiting the potential of the overall team.

By being more aware of personal biases, leaders can acknowledge how their perceptions about people may influence decisions about a wide range of workplace issues; including who is selected for various developmental opportunities, assignments and promotions.

To assist with self-reflections, I have included a few sample questions to consider. Do you pay more attention to certain people on your team than others? Do you consistently rely on the same few people? Do you consistently acknowledge and reward certain types of people and overlook others? Do you seek input from only a select few and not a wider variety of sources? Do you judge people based on your perceptions of behaviors that are more appropriate for men or women?

The responses to these questions, along with other relevant feedback, will provide you with a helpful starting point in terms of the behaviors that you may need to modify. Minimizing the impact of biases is not easy. It takes a concerted effort to ensure they do not become activated and affect the judgments leaders make about people and about situations.

Actions Matter Most

What leaders say is important yet what they do matters most. This is particularly relevant as people examine the actions of their leaders for information about what is expected and acceptable in terms of group norms. People interpret their leaders' expectations from the policies and practices that they follow and from the kinds of behaviors that get rewarded and supported.

For example, if a leader were to state that she values the opinions of all team members but continues to rely on the same few people during meetings, her actions would reinforce that certain types of people are valued over others.

Likewise, if a leader publicly condones poor conduct and then turns around and promotes someone who consistently discriminates against or bullies other people on the team, then the leader has effectively communicated that conduct policies have little relevance and that certain people will be given a *pass* because of their status within the group. In this scenario, the leader's behaviors are likely to prevent people from reporting misconduct or bringing up issues due to the perception that their complaints will not be taken seriously.

To create a fair and more inclusive workplace, leaders can only successfully undertake change when the climate—what people experience, and the culture—what people believe the organization values, also change.

To facilitate change, leaders need to start emulating and rewarding new practices, such as the fair and respectful treatment of others. For leaders who apply fair policies and practices consistently over time and in all situations, they are more likely to encourage others to follow their lead and emulate the same behaviors. Therefore, leaders must not only model inclusive behaviors, they must also call out the bad behaviors of others and continue to push change throughout their workplace or throughout the organization.

To promote learning and to assist other members in adapting inclusive behaviors, it is necessary for leaders to demonstrate a sense of vulnerability and humility by admitting mistakes, learning from feedback and different points of view, and being aware of personal strengths and weaknesses.

In a recent article, I shared the story of Bill, a former commander in Western Canada who was working to create a healthier work environment. Despite the hierarchical, command and control environment that typically shunned demonstrations of emotion and vulnerability, Bill openly admitted that he did not have all the answers, that he was going to make mistakes, that he was committed to learning from these mistakes, and that he was empowering everyone to be part of the process and to learn with him.

Bill's vulnerability facilitated greater workplace learning as he gave permission to others to be both authentic and vulnerable by reducing their concerns about how he might react. Through Bill's leadership, the workplace shifted from one where members perceived it to be *doing time* to a highly desirable place to work.

Committed leadership, the ability to admit weakness and mistakes, the empowerment of people, the support and appreciation of all people, and an environment that fosters learning and the sharing of ideas, are essential ingredients for an inclusive workplace.

Concluding Thoughts

Creating an inclusive workplace is a long-term process of change that requires leaders to consistently model inclusion. I am not suggesting that this type of change is easy, or that it is even welcomed by all members. But it is necessary if police leaders want to position their organizations to effectively respond and adapt to a rapidly changing environment and to attract and retain quality people in a quality culture.

By encouraging all members to work toward a common purpose, rewarding inclusive team behaviors and creating a learning orientation toward work, leaders can direct members away from a goal of *proving masculinity* to goals that advance the well-being of the team and the organization.

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14 Practical Application 6: Shared Leadership in Action: Practical Applications of Transforming Leadership at the Richmond Detachment

By **Ward Clapham, MOM,
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It takes a lot of courage to release the familiar and seemingly secure, to embrace the new. But there is no real security in what is no longer meaningful. There is more security in the adventurous and exciting, for in movement there is life, and in change there is power.

Alan Cohen

Taking the Quantum Leap

This chapter will explore the journey of the third-largest RCMP Detachment in Canada and the application of Transforming Leadership, a shared-leadership philosophy. This shared Transformational Leadership model blends the principles of pro-active initiative, empowerment, trust, accountability, and servant leadership within an enhanced Community Policing philosophy we call Comprehensive Policing. This philosophy is in concert with the Transforming Leadership approach outlined in this book.

In addition to our implementation of a Continuous Improvement team and committing to develop every officer as a leader, we have found that other things have helped us along the way. In this chapter I will share with you what worked and what didn't as we acted to implement the essence of this book.

The New Rules Require a New Leadership Model—That's Why We Shifted

Surrounded by constant change, new rules, and competing priorities, we decided to take the leap forward toward a futuristic service-delivery model. At the same time, we recognized that our leadership style would also have to change to support our new direction. One of our first moves was the departure from command and control—The top-down leadership style—to shared leadership.

Change or Be Changed

This new approach is where all employees have input and direction into the tactical and strategic operation of “their” detachment.

Some men see things as they are and say, "Why?" I dream of things that never were and say, "Why not?"

George Bernard Shaw

Recognizing that “command and control” was still necessary in certain police activities, we introduced the new principle of “command and coordinate” as part of our blended leadership model. Command and coordinate allowed us the ability to still react in a disciplined structure during emergencies, but recognized we could not control, nor should we control, every aspect of every emergency. Instead we could “risk assess” and coordinate as required, yet still trust our people within an empowered working environment.

This quality of trusting one another has grown from our observation that when we expect everyone to be a leader, most people tend to become better leaders. If we don’t expect this, people tend just to follow and not tap their creative potential in each situation.

Ten Guiding Leadership Principles

Based on the book by Jim Collins, *Good to Great*, we developed our Ten Guiding Leadership Principles. These principles are the heart and core of everything we do. They are driven into our culture. They are our guiding light, the compass to our essence of being. These principles are also foundational to the practice of Transforming Leadership.

Here are our Leadership Principles briefly explained.

1. Managing Expectations

It doesn't work to leap a 20-foot chasm in two 10-foot jumps.

American Proverb

All of us need to know—in a timely and continuous fashion—what is expected of us at work. It just makes sense that we know in advance the expected rules of engagement. This is also called positive discipline. As leaders, it is our job to clarify some of those things that are expected. It makes the work environment that much better when you know what is wanted and expected. Thus, we constantly strive to ensure expectations are discussed and clarified daily.

2. Proper Tools and Equipment to Do Your Job

You must have all the tools, equipment, material, and safety devices to do your job. Thus, within our leadership model, ensuring—in advance—that our people have the best tools of the trade is “Job One.” Policing is a dangerous job. We must always strive to ensure our people and community remain safe.

3. Passion Is Important

We work from the premise that our people must be provided and supported to run with their passion within policing. We want innovation and creativity to flourish at Richmond Detachment. This includes supporting our team and individuals to run with their passion. This includes utilizing everyone’s talents to the best or the greater good.

As Mike Johnston, Associate Coach with the Vancouver Canucks, calls it, “Nurture and develop their core strengths.” Thus, whatever the talent is, we strive to identify it and champion it.

4. Recognition Matters

We do not recognize our people enough for doing a great job. From verbal to written to a small gift or token, recognition is paramount! The service we provide is through our people. Our people are number one. If we look after our people and recognize them, the guaranteed output to our community will be first class.

5. Wellness is the Foundation

*If the shoe doesn't fit,
must we change the foot?*

Gloria Steinem

The wellness of our people and their families is most important. Happy, smiling employees means quality service to the community. You must be happy at work. Wellness is paramount in everything we do. In Richmond, our people can expect activities to unwind, places to exercise, and corporate and family support, etc. We strive daily to ensure wellness remains at the top of our list.

6. Training, Developing, Coaching, and Mentoring

This is fundamental. We all must support training; we all must continuously develop we all must be coaches and mentors. There is great emphasis on continuous learning at Richmond Detachment. But our expectations that our employees will get involved and their efforts to develop and coach other also have increased.

7. Your Opinions Matter

The front line of police work is why we are in business. At Richmond, “your opinions, ideas, and direction matter.” Spinning off from Commander Michael Abrashoff’s book, *It’s Your Ship*, our motto at Richmond is “It’s Your Detachment”! Our people are the ones doing the job. They know what works and what does not work. We need to hear from them.

At Richmond, the leadership team works for the people on the front line. Our job is to provide them with the support, manpower, and backing needed to carry out our vision. We ask our employees to get involved by providing input and ideas. At meetings, we encourage them to speak out, to get involved.

As a leader, you also must listen to others and their thoughts and ideas. We respect differences at Richmond Detachment. We believe there is more than one right answer. This means we pay attention to alternatives or we stop searching, listening, and growing. Respect others’ points of view.

The one truth we have learned throughout our journey is that at the end of the day, life is all about relationships. How we create, nurture, and respect these relationships will make or break us.

8. You Matter

Never doubt that a small, group of thoughtful, committed citizens can change the world. Indeed, it is the only thing that ever has.

Margaret Mead

At Richmond, you always will be treated with the highest respect and regard. Our people will make or break this Detachment. We are a team here. We have huge faith and trust in our people. We give them guns, bullets, and handcuffs. We trust them in taking life or liberty with every shift. We will trust them with everything else.

But, with that trust, we expect professionalism and integrity in all the little things they do, day in and day out. We expect this trust is displayed to the people they serve.

9. Make A Difference

We must be in this line of work for more than just a paycheck. We work from the philosophy that we can make a difference by, as examples, preventing a problem from occurring, protecting the community from a crime, capturing a “bad guy,” or helping a child from making a poor choice.

Our Vision is Safe Homes, Safe Communities. We ask our people to walk the talk by entrenching in our work the philosophy of the way we police our community. This kind of Comprehensive Policing is not a section or a program. It is a philosophy. It is the way we do business. Enforcement is still a primary and necessary tool in our Toolbox, but so is targeting and having real-time intelligence. This means we must be able to expand and collapse our target teams faster than the criminals can.

At Richmond, we will not simply be reactive in our response to calls for service. We will not just go from “call to call” and apply a Band-Aid. We expect everyone to be pro-active to self-generate preventive work (solve crimes, develop intelligence, build contacts) and root problem-solve.

The emphasis is on the concept of preventing a crime or problem from happening in the first place. That is the foundation of root problem-solving and the basis of both the Problem and Opportunity Coaching Model introduced in this book and the foundation of the RCMP’s more elaborate problem-solving model.

10. We Have Fun While We Work

We recognize that our people won’t be millionaires at this job, but we tell them that if they want to be rich . . . in experiences, in making a difference, in contributing to society . . . then they are in the right job. Having fun on the job isn’t wasting time, it is enjoying the challenge and reward of being creative, making a positive difference, and sometimes just helping each other laugh during serious moments.

Our Further Expansion of these Principles so that they Apply to Policing

What man actually needs is not a tensionless state but rather the striving and struggling for some goal worthy of him. What he needs is not the discharge of tension at any cost, but the call of a potential meaning waiting to be fulfilled by him.

Victor Frankl

It is important to understand the underlying principles from which our leadership model has evolved. At the core of our shared-leadership model were the principles of empowerment, trust, accountability, root problem-solving, and the accountability of all employees.

As a result, our service delivery moved toward a decentralized, custom-designed, client-centered style. We grounded this model in principles such as transparency, partnership, and consultation with our clients in attempts to proactively identify and respond to community safety issues.

Victor Frankl

Did you ever think this would be the way business would be done in policing? As the business of policing and rules of engagement changed, we made the decision to deliver our policing service within a new leadership model. We moved to a shared-leadership model that is really focused on risk assessment and interdependency.

Continuously Assessing Risk and Accountability

Risk to policing is like wetness to water.

Police leaders are no strangers to problems, risk, emergencies, crises, turbulence, and constant change. How a person leads during these various challenges is really going to define the difference between good and great leaders and a good or a great police organization.

As police leaders, we have a choice. We can sit on the sidelines, react in a “post incident correction paradigm,” within a traditional law enforcement approach, and ride the *status quo* or we can take a quantum leap. This is the leap to becoming pro-active, to embracing root problem-solving, to holistic prevention measures . . . taking continuous improvement and the execution of strategy seriously, to embracing safety and wellness as a vision for an entire community.

This leap is a move toward a leadership model that continuously assesses risks and demands accountability, but recognizes where policing is going in the future. This is what we call Comprehensive Policing.

Looking for Turbulence

Most conventional businesses and business leaders do everything they can to avoid trouble. Yet, policing is much different. The community expects their police officers to uncover trouble, identify problems, respond to issues, and anticipate turbulence. The public expects that the police will seek out the turbulence in advance, whenever possible.

At Richmond, we celebrate turbulence and make it our best friend. All we do is basically ask, what are the problems out there? What might “blind-side” us? What is on the radar screen that we should be paying attention to?

We found that by looking ahead for possible problems and issues or future trends, we are able to act sooner. We are able to identify current and future risk situations earlier than we did in the past. We are able to do that because as leaders, we all agreed to do it. As a result, we can begin making slight adjustments in our risk assessments sooner than we did before. This has changed the priorities of a number of emerging pressures we have faced.

*Be creative.
Use unconventional thinking.
And have the guts to carry
it out.*

Lee Iacocca

Although we have to adjust our course more often, we have found that by proactively declaring we are “looking for turbulence,” we are actually developing a sharper focus. We are paying much more timely attention to the current and future terrain and conditions. We have found that if you can make the link between “future sensing” and “looking for trouble,” you can make the rough water/turbulence your best friend.

Our World is Fast-Paced, Complex, and Unpredictable: Stay on the Pro-active Edge

We now have unimaginably unique challenges that require unique approaches. Some describe our world and our life as living in chaos. The Chaos Theory refers to an apparent lack of order in a system that nevertheless obeys particular laws or rules. The two main components of chaos theory are the ideas that:

- systems, no matter how complex they may be, still rely upon an underlying order; and
- very simple or small systems and events can cause very complex behaviors or events.

An interesting phenomenon occurs during chaos: patterns emerge. Future leaders need to be able to identify and understand these patterns or paradigm shifts during chaos. Why? If you can identify these patterns, you can also begin to form a map to help you navigate through the future. Police leaders of tomorrow will not only be required to walk near the edge of chaos but, for optimum success, they will be required to dance with chaos.

We are taking a few lessons from watching the forecasts of futurists, technologists, police futurists, and successful interventions that other justice, public safety, and security agencies are doing to stay on the pro-active edge.

We Must be Fast, Flexible, Responsive, Resilient, and Creative to Survive

*Obstacles don't have to stop
you. If you run into a wall,
don't turn around and give
up. Figure out how to climb
it, go through it, or work
around it.*

Michael Jordan

These words and ideas are thrown around so much these days. But progressive police leaders are looking for action and actual examples of fast and flexible. How do I translate that into my leadership style and then into application?

In policing we have been forced to move in this area to survive. There is a new face of crime. It is organized; it is fluid; it knows neither borders nor boundaries.

In fact, criminals organize themselves around our inefficiencies and jurisdictional borders. Just

like entrepreneurs, criminals take advantage of opportunities very quickly. Organized crime can expand and collapse far more quickly than most police agencies. They change commodities like we change our socks. It is all about power, control, and money for them and they move swiftly.

As the Police, we have been forced to anticipate and pro-act more quickly than the crooks. For example, look at the evolution of Police-based Integrated Target Teams. These teams are non-commodity based and focused on the dismantling the organized crime group; they use the power of information sharing via technology.

At Richmond, we developed target teams around dangerous driving, street racing, massage parlors/prostitution, after-hours liquor sales, marijuana grow operations, and copyright violations. These target teams are formed from a pool of multi-disciplined police officers (attached to a variety duties and responsibilities) and community partners (fire, health, by-laws, etc.), as and when required.

We are able to expand, adjust, and collapse our teams and our response as quickly as the criminal groups. We are finding this hugely successful in decreasing problems.

Upon my arrival to Richmond in 2001, it was painfully obvious that Internet and computer crime was on the rise. Using the pro-active philosophy, we developed the first RCMP Detachment Computer/Internet Crime unit. But it was not just mandated with investigation and enforcement. We included a 50 percent prevention and education component.

This holistic concept was shared with our politicians and community clients and was well received. We recognize that the next generation of “highway patrol officers” is going to be working the “information highway,” not just the highways and streets. We wanted to be ahead of the game, so we took the courageous leap of trying to get a handle on the problem before it overwhelmed our community.

We are catching people earlier and more intelligently than in the past. Before we had our technology team, we didn’t catch some of the people involved in serious stalking or pedophile offenses. We didn’t have the intelligence to bust one gang while they were “grow-ripping” another gang, but we do now.

Chaos is Healthy, Encourages Creativity, and Creates Opportunity

The challenge for today's leader is how to seize the opportunities during times of problems, adversity, risk, emergencies, and chaos.

A police leader must welcome and celebrate chaos. It is healthy. It inspires creativity, agility, open-mindedness, adaptability, and flexibility. It creates huge opportunities for the adventurous. For the timid and weak, it causes heartache and stress. The challenge for today’s leader is how to seize the opportunities during times of problems, adversity, risk, emergencies, and crises.

Even if we accept the fact that our world and our lives are on the edge of chaos, the reality day-to-day is that there is a continuum of chaos—from stability to problems, adversity, risk, emergencies, and crises to outright chaos.

The way you personally and organizationally seize the opportunities within the chaos takes an organization from average to cutting-edge. We are always striving for the cutting-edge, without cutting ourselves or each other by trying to take everything on. We have had to prioritize nearly everything and act mostly on what is agreed to be most important!

Your People Are Your Most Valuable Asset

People are definitely a company's greatest asset. It doesn't make any difference whether the product is cars or cosmetics. A company is only as good as the people it keeps.

Mary Kay

Fancy words. Everyone claims this is something they believe in, but in the information revolution, following through with this principle in both word and deed every minute of every day is more crucial than ever. Every leadership initiative that has occurred in Richmond was based on the principle that our people were most important—that they mattered.

It starts with showing our people that we care about them. We listen to them. We involve and engage them in the direction and leadership of the detachment. When they identify gaps, we act on them. At Richmond Detachment, we invert the pyramid . . . the leader's job is to support the front line—to show the front line that they really matter.

From Management to Leadership

You Manage Things: You Lead People

It is important for police leaders to understand the difference between management and leadership. As a police leader, you need both. The trick is understanding when to manage and when to lead. Many of the management practices of the past are still being applied today when dealing with people. You cannot manage employees the same way you manage money, things, systems, and processes.

Empowered, mature, skilled, innovative, trusted employees are not “things” and “systems.” They must be dealt with within a shared-leadership approach, where their voice is heard, where they agree on strategic priorities, and are accountable to achieve specific goals and objectives they believe are desirable and realistic.

At Richmond, we moved to the shared-leadership concept because command and control from the top just could not work to deal with the complexity with which we were faced. We were asking our people to become innovative problem-solvers and to strive to make a difference in their communities, but they were buried in policy, bureaucracy, and paperwork.

We were giving our police officers guns and bullets, but locking up the flashlight batteries and the pencils, requiring them to sign them out, to be “accountable.” Our trust matrix was topsy-

turvy. Basically, we had to move to trusting our people more, releasing and sharing power . . . as they were able to develop the capability to handle it.

Leadership is truly all about “letting go” of power—decision-making power—at the right time, when people are ready to move with it. The challenge for Richmond was what to let go, when to let go, and how to ensure responsibility and accountability in the process of sharing decision-making power.

Lessons Learned: Striking a Balance Between Letting Go and Accountability

We made some mistakes. Too much empowerment without clear accountability, follow-up, and consequences was one very early observation we made. Our solution was transforming our daily management meetings into daily accountability sessions. Expectations, accountabilities, and follow-up on issues are discussed at these problem-solving and brain-storming meetings.

Yet, since September 11, 2001, the support for this style of empowerment has slipped backward. The cultural shift toward an empowered model historically has been tough . . . and still is today. We are regimented in many ways. Experience has taught us that a blended-leadership deployment is like role-playing. Some moments you need command and coordinate and, the next moment, you are into full-blown interactive-participative leadership. Sometimes, you just need a balance of release and review.

This shifting of styles of leadership is hard for some people because it is not just black and white.

For some leaders, it is much easier to slip back to command and control.

It is not on an Org Chart; it is not ordered and within semblance. At Richmond, we just carry on in spite of the challenges and critics. But for some leaders, it is much easier to slip back to command and control. This was the way they were treated, trained and, in some cases, promoted up the rank system. But they know that doesn’t work as well as team-based, creative, collaborative intelligence. They know they need to learn how to do this kind of “whitewater” leadership, but there are few places to learn it.

Once You Leap, there is No Turning Back

The world is a dangerous place to live, not because of the people who are evil, but because of the people who don't do anything about it.

Albert Einstein

Once the majority of the team experiences the positive energy that erupts within a model that supports involvement and contribution to the organization, there is no turning back. Once you unleash the creative and incredible talent and energies of your people, good luck trying to revert backward.

At Richmond, our Continuous Improvement Team submitted a formal letter to the City of Richmond requesting representation and complete inclusion in the choice of the next Chief and Deputy Chiefs of Police at Richmond Detachment. They requested the opportunity to provide the core leadership competencies and they asked to be involved in the short-listing, interviewing, and final selection of the next senior leadership team members.

Their message was simple: we will not go backward; we want to continue in a shared-leadership/Comprehensive Policing direction. Not surprisingly, the City of Richmond embraced this request wholeheartedly. The City was also enjoying the fruits of shared leadership and CP2. One of their biggest worries was that the service delivery/leadership model was one-leader dependent, so that when the Chief or Deputies transferred, so would the leadership style.

Of course, the City of Richmond senior staff and politicians were very excited when a cross representation for the entire Detachment (the police culture) came to them declaring that our new leadership/service-delivery philosophy was now engrained into our culture. This was truly a dream come true.

One of the shared leader's main jobs is to drive this leadership philosophy into the culture. This leader's main message is to help people get used to the fact that this is just the *way* we do business. This consensus-building has to be constructed from the Senior Leadership team down to the front-line workers. This style and philosophy must become so entrenched and engrained that it remains the fundamental way we do business from now on!

In Richmond, that was our goal. But how did we accomplish this? Through the Transforming Leadership inside-out approach.

The Power of the Inside-Out Approach of Transforming Leadership

Find Your Roots: Core Ideology/Vision

*Change is the law of life.
And those who look only to
the past or present are certain
to miss the future.*

John F. Kennedy

It is never too late to “find your roots.” This is true whether you are new to the job or have been in the position for years. Upon my arrival at Richmond Detachment, after three years as the Operations Officer in Nanaimo, I decided to take us back to basics. In our attempts to establish a context for change, I had all our people dig up our roots: what were we all about in terms of core ideology, mission, vision, and values? It is vital to determine the shared beliefs and intentions of the organization and employees.

Flesh Out Your Principles and Values

*Reconnecting with vision
and principles is crucial.*

Reconnecting with the vision and principles is crucial. At Richmond, we use principles all the time when we are asking the team to make decisions and take action. We provide a road map for all our employees by championing and celebrating our guiding principles, expectations, and direction document. We continue to present it and communicate it to all staff at all possible venues.

Whenever we had a tough decision to make, we would review or discuss our principles and values up front. It is amazing how easy the decisions become if you do this in an open and proactive way.

Continuous Environmental Scan

At Richmond, we started off with your typical environmental scan. But we soon noticed that what was required was a continuous environmental scan. Like a living document, continuous environmental scans needed to occur on regular basis, where risk is continuously assessed—risk on all fronts: tactical, strategic, operational, administrative, structural, and community.

So, we set up a number of activities to put this continuous environmental scan or risk assessment in place. Here are just a few examples.

- Communications: daily operational briefings (parades) at 6 am, 7 am, 6 pm, and 7 pm
- Morning Training Sessions: daily topics in the areas of service delivery, leadership, tactical, and functional competencies (1 hour in duration)
- Daily morning Leadership Team Meetings: Transforming a Management Meeting to Daily Accountability Sessions (managing expectations and managing the execution of our balanced scorecard daily)
- Supporting and enhancing the Continuous Improvement Team concept initiated by Dr. Terry Anderson
- Setting up a front-line employees-feedback loop: Constables Committee
- Setting up quarterly Municipal Employees Info Sessions to ensure communications
- Setting up a Wellness/Health and Safety Committee
- Setting up a Daycare Committee, looking at future childcare opportunities
- Setting up a Critical Incident Team
- Setting up a Diversity Advisory Committee
- Expansion of Community Consultative Groups and Town Hall Meetings
- Obtaining Diverse Client Feedback through a regular Radio Program on Chinese Radio
- Supervisors Yearly Retreat and Quarterly (full-day) Supervisors Meetings

What we found was that by opening up the lines of communication, both horizontally and vertically, among all employees, a number of great ideas and gaps surfaced.

Identify and Act on Gaps

We found success can occur if you act on the “low-hanging fruit” first.

Most gap identification is fairly straightforward. The misalignments and disconnects jump out quick and clear, especially if you are using your core ideology and vision as your compass (Covey’s True North). We found success

can occur if you act on the “low-hanging fruit” first. Be fast and furious. Hit high-impact areas and show you mean business, that you are sincere about fixing problems and you don’t need to waste a lot of time in the analysis-paralysis syndrome. That was one of the successes for us at Richmond.

We acted on every possible gap we could. Most of the requests were for the enhancement of equipment and changes in our misaligned systems. There were no sacred cows; our entire focus was on supporting the front line.

Develop and Nurture the Culture

As leaders, it is our job to “connect the dots,” repeat the importance of the strategic initiative, and help front line staff make the links between the plan and their actions.

Changing the culture takes time. But you must believe in your course, your journey. This requires constant, multiple-track communications and the barrage of the shared vision to engage the critical masses of staff who will make change happen.

At every turn, the entire senior leadership team was bombarding the Detachment with messages. We also found that patience was required in building a senior team and mid-management team that was on-side because it took so long to achieve this goal.

To develop our leadership teams, we employed continuous learning and training to deal with leadership, manage change, and clarify and agree upon our principles and vision.

Our Strategic Plan Had to Be Translated into Daily Action Agendas

Most front-line workers by the nature of their jobs are tactical in nature. The strategic planning and implementation process has at first seemed abstract and “out there” to them. They needed it brought down to their level and they needed to see the links—how it all fits together. This is something we practice in Richmond on a continuous basis.

Our current strategic plan has five strategic imperatives:

- Violent Crime
- Traffic and Road Safety
- Youth
- Drugs
- Property Crime

As leaders, we are constantly linking Detachment strategies to these imperatives and the actions we are taking.

For example, we expanded and enhanced our Marihuana Green Team. Why? Because the issue of drugs is a strategic imperative and grow ops were out of control. But, then we went further. We employed the principles of CP2 and added an educational, communications, and preventative component to our Marijuana team’s service delivery expectations, calling it Green Clean.

As leaders, it was our job to “connect the dots,” repeat the importance of the strategic initiative, and help the front-line staff make the links between the plan and their actions.

Establishing the Context for Change and Clarifying a Shared Vision

A Clear Identity

The goal of shared leadership is for people to be empowered, act autonomously, and remain in sync with the whole. Are they doing everything they can to reduce the external controls placed upon them? Relying on core ideology and a shared vision (ours is safe homes, safe communities), we don't get hung up on rigid structures, command-and-control systems, and bureaucracy.

We want our people to be empowered to make decisions on the street in real time, based on principles. They cannot be running back to the office to check policy or receive permission first. Today's police officer has been trained to problem-solve using common sense that his or her decisions are moral, ethical, affordable, and legal.

We need them to be agile, open-minded, innovative, and creative and to work in partnership with the community to root problem-solve issues that our clients are facing. This is especially important as we are moving more and more toward Integrated Service Teams—the next step toward interdependency.

Focusing on Both the Long and the Short Term: The Foundation of Comprehensive Policing

Leaders must always keep their vision focused on the present and the future.

We want our employees to have and maintain 20/20 vision: the ability to focus on the short-term (tactical) and long-term (strategic) organizational goals.

Leaders must always keep their vision focused on the present and the future. We encourage leaders to develop what we call "super" vision. Within our morning training sessions, we teach the components of Comprehensive Policing.

We placed great emphasis on developing our police officers' super vision of the future. Within our discussions during Comprehensive Policing, we talked about current paradigm shifts that are occurring—like house arrest, less-than-lethal force, asset-building, marijuana grow-rips (home invasions), and the possible decriminalization of marijuana. Then we moved into future shifts, areas like technology crimes, changes in laws, changes in the court system, terrorism, and private policing.

Our goal was to have them focus on the short term (realities) and the long term (possibilities) so that we have as few surprises as possible and are as prepared as possible for a wide range of eventualities, without sacrificing operational effectiveness. That is a tall order to fill, but can be done to some extent—and to an increasing extent, if there is the purposeful intent to do so.

Enriching the Collective Mindset

Once our people bought-into and believed in the vision, we've had to continue to add energy and support to the cause. We strive to lessen the bureaucracy and work and apply fewer rules.

The net result is that by using this way of functioning, the self-directed, creative, and productive actions of the officers began to flourish. Our masses of staff and officers began to support and put their energies toward the realization of the vision.

As leaders, it is our job to enrich, champion, and expand the collective mind-set. The keys to enriching the collective mindset are:

- increasing the amount of reward and recognition that is appreciated (by asking people how they want to be recognized and rewarded);
- leading by example;
- showcasing good-news stories in operational meetings and celebrations; and
- enhancing communication, outlining the importance and successes of alignment with the vision.

Many of our good news stories are captured by the media. It is not uncommon for these video clips to be shown and highlighted during morning parade and meetings. Some officers were surprised that their efforts made national news.

Developing Alignment

This is one of the most important leadership lessons learned. A leader must link theory to practice. We use the word “operationalize” to accomplish this linking . . . we link tactical actions and reasons with the long-term strategic plan. And we have had to do this often! People get so busy, they lose track of how people and events are being coordinated into a strong fabric of crime-forecasting, intervention, prevention, and impact.

Promoting Understanding to Reduce the Noise of Change

It's not so much that we're afraid of change or so in love with the old ways, but it's that place in between that we fear. It's like being between trapezes. It's Linus when his blanket is in the dryer. There's nothing to hold on to.

Marilyn Ferguson

A leader is often expected to communicate ambiguous, contradictory, and confusing information the organization interprets as irrelevant or burdensome “noise.” At Richmond, we made it our job to transform this noise of change into meaningful information. We used the services of communications experts for both internal and external modes.

One of the techniques we used to clarify the noise was by constantly returning to our roots, our vision—the foundational principles of what we are about—to demonstrate that what we in fact are doing operationally is aligning with this vision. It is amazing how fast things clear up and make sense when you are able to reconnect with your “True North”—the agreed vision.

What we found is that you really have to actively encourage supervisors to clearly pass messages down the line and not forget to do so. It is easy for supervisors to attend a meeting and not take anything from it back to the front line.

Bombardment of Messages: A Tipping Point for Engaging the Critical Mass of Support for Change

We are relentless in both our “internal” flood of messages and our “external” (media) communication.

You've got to keep pounding the key messages of the vision and the strategic imperatives. Getting the critical masses engaged means communicating what really matters . . . making the unarguable calls for change. This means a bombardment of messages at all levels, all thresholds, all venues.

We are relentless in both our “internal” flood of messages and our “external” (media) communication. Our Communications Officer is mandated with identifying (from the staff at the Detachment) newsworthy items to provide the media with five “good news” stories a week.

Whether the press actually covers the press releases is not our worry, but we do ensure that the positive and pro-active stories of the job we do are provided to the Communications Officer by everyone at the Detachment. This is another way of engaging the critical masses to get involved and develop a deeper understanding of the value of pro-active initiatives.

Destabilizing Your Organization

At Richmond, we witnessed time and again, during some very chaotic and disturbing situations, where organizational creativity and vitality increased to levels we had never dreamed possible. During times of crisis, our employees stepped up to the plate and performed well beyond expectations.

As a leader, you do not want to create extreme chaos. You can, however prod the system, to stimulate innovation, creativity, and vitality (contrary to the commonly held belief that leaders should create organizational stability).

How Can You Disturb the *Status Quo*?

One way to stimulate progress is by creating elevated goals.

One way to stimulate progress is by creating elevated goals. Yes, you stretch the limits of credibility and, yes, you inspire human spirit and, yes, you need buy in — you need your organization's cooperation and support. In policing, one of our lofty goals is based around problem-solving: root-cause problem-solving.

Our staff is challenged with every call they attend to engage in root problem-solving in partnership with the community so they never have to re-attend the call. By being innovative and empowered to solve community problems, can they make a difference so the problem is ended, once and for all?

Another lofty goal at Richmond Detachment is the movement of seasoned police officers in plain clothes back to uniform — having rank and expertise back on the street. Recently, we created four General Investigation Section positions (detective) attached to our Uniform Watch. We call it General Duty; other police agencies call it patrol.

These detectives wear their uniforms and work 24/7. Of course, they have the freedom to change into plain clothes when duties require. They are accountable to their Watch Commander, but also have a broken reporting line to the Staff Sergeant leading the Detachment's plain clothes division. These officers are mandated with investigating the serious crimes and coaching/developing young officers at the same time. This initiative is working so well, we are planning to increase the cadre by adding four more positions.

Ensuring the Rich and Timely Flow of Information

Leaders must ensure the accurate, useful, and rich information and feedback to their organization's members. This is especially true in a destabilized environment. In constant flux, adjustments must be made on the constant flow of real time, accurate information, and honest feedback.

By encouraging the good and the bad, you begin to create an atmosphere that champions an open mind, where tunnel-vision does not set in and where alternatives matter. An organization that begins to recognize the constant flex and bending (disturbances) has a healthy checks-and-balance system crucial to success. The key here is for a leader to set the stage by courageously starting the feedback loop, showing humility and courage by admitting mistakes, and making the necessary adjustments.

At Richmond, we constantly strive to evaluate how we are doing by setting up numerous venues for feedback loops. Our culture is now comfortable with providing forthright, honest feedback because people know their futures don't rest on how safely they play their career game.

The Assessment Phase: Celebrating Failure

In the RCMP, we apply one universal problem-solving model to all situations: professionally, operationally, administratively, etc. It is CAPRA: Clients—Acquire and Analyze—Partnerships—Response—Assessment. In this model, we plan for the Assessment Phase right from the beginning. We know we are not going to get it 100 percent right and that's acceptable.

*If you're not confused,
you're not paying attention.*

Tom Peters

As a matter of fact, in a risk-assessment model, it is possible to trace multiple tracks of action and re-adjust and change direction on the fly at multiple levels.

This happens all the time in complex and serious criminal investigations or undercover operations . . . and we "celebrate" failure because we are able to learn from it. This is probably something the public does not want to hear or see from their Police Community but it is the truth of what can inescapably occur when we deal with the chaos of crime. That is not the type of failure we celebrate. We are really talking about celebrating innovative and unique attempts to work with the community in problem-solving (or internal systems or process problem-solving) that did not work previously.

For example, we are trying a new Records Management System right now where our files are electronic (no more paper). The system is called BC PRIME; Richmond Detachment is the beta testing unit for the RCMP and BC PRIME. In addition, we no longer have radio dispatching from within our Detachment; we have outsourced our dispatching. Dispatch is now at our Regional Dispatch called ECOMM. The philosophy is all based upon one-stop shopping, where all police agencies can share information and communicate instantly. Makes sense, doesn't it? But some components of this changeover did not roll out as smoothly as expected. We knew this was going to occur . . . so we took the attitude that we should expect problems. We planned for them. We even celebrated the fact that we were trying to move to a new playing field and things were crashing around us. We were trying and nobody would criticize us for our striving for our "lofty goal." In this case, our lofty goal was electronic, shared records and communication systems for police.

Success tends to lock you in a pattern and holds you back from trying new and better approaches.

Success tends to lock you in a pattern and holds you back from trying new and better approaches. Move the target back once in a while; shoot from a new playing field. If you make an error, use it as a stepping stone to an idea you might not otherwise have thought about. This is how we operate in Richmond.

We would never have even thought about Comprehensive Policing if we had not been fine-tuning within our community policing philosophy.

Promoting Diversity of Opinions

Diversity is essential. This is where the cross-fertilization of opinion is the catalyst for generating novel ideas and approaches—where the exchange of ideas becomes the sparkplug for energizing creative action. Everything we do from the beginning of our workday is to promote the diversity of ideas. What we are talking about here is driving into a culture at all levels that you value different viewpoints; you don't fear them.

Command and Coordinate – in the United States Marine Corp, they are moving toward "Command and Coordinate," because getting absolute control in uncertain, complex, and chaotic circumstances is impossible.

Ward Clapham

An Emergency Response Team (e.g., SWAT) tactical deployment is an excellent example of a Command and Coordinate leadership style in action. But even in this type of environment, the approach of valuing different viewpoints has its time and place. It works not only in the training stage—where you want to get everyone's thoughts and ideas out on the table—it can even work at the point of tactical intervention.

For example, a tactical plan has been made. The troops are about to execute hard entry into a house—ready to use stun grenades and lethal force, if necessary—and a team mate has the courage to provide updated feedback as a result of his or her unique viewpoint to the crisis situation. The individual's call is correct and, as a result, the leader changes the team's course of action and tragedy is avoided.

This style of engaging interaction, trusting in your people, and encouraging respect for the diversity of opinion is the ultimate test for a leader. Think of the number of times that lives may

have been saved and huge problems avoided because someone had the courage to speak out and knew it was acceptable do so. Imagine a culture that relies on diversity of opinion, even when split-second, high-risk decisions must be made by the leader.

The key to success here is a lot of preparation, discussion, and management of expectations by the leader and the team, but this preparation occurs continuously as a part of the leader's style and approach—not a long orientation or training program.

More than One Right Answer

The truth is that our finest moments are most likely to occur when we are feeling deeply uncomfortable, unhappy, or unfulfilled. For it is only in such moments, propelled by our discomfort, that we are likely to step out of our ruts and start searching for different ways or truer answers.

M. Scott Peck

At Richmond Detachment, we work from the principle that there is more than one right answer. We have found this keeps us focused on assessing and being alert to other possibilities. It has been a challenge to drive this philosophy into our culture.

Our educational system has taught us basically to look for just one right answer. This approach is fine for some situations. But when you are leading within a constantly changing environment, you cannot stop looking after the first right answer has been found. Often, the second, third, or eighth right answer is needed to solve the problem in an innovative way.

In a diverse world, in an ever-changing world, we should be looking for the next right answer. Sometimes that off-beat or unusual answer is exactly what is needed to solve the problem. We see this being utilized all the time in undercover operations and criminal investigation approaches.

The process of keeping an open mind and being open to the next right answer was personally experienced during the creation of our Resourcing Committee for Richmond Detachment. This is where the internal shifting of police officers is decided by committee. The decision-making model is democratic and the Team Leader (Officer in Charge) does not vote; he leaves it to the committee. This cooperative committee process has been in constant flux and change.

We found that many times, there was more than one right answer, depending on the situation. These committees approached the concept with the “more than one right answer” philosophy and created a first-class staffing model that is fair and ensures there is no “old boys” network. But, this did not occur overnight. It took time, courage, and the understanding that an open mind was critical to success.

Holding Anxiety: Putting it into Proper Perspective and Functioning Effectively

Chaos, change, and instability evoke anxiety in people. As a leader, the challenge is helping people temporarily hold this uncertainty and still perform. You need your people to effectively function, to fire on all eight cylinders while holding this anxiety in abeyance.

'The Gen "Y" seems to have no problem with this. They have grown up in a world of diversity, change, chaos. Holding anxiety is second nature to them.

There is no magic bullet here for developing a culture that holds anxiety and uncertainty well. Lots of communication, sensitivity, and patience are the "magic bullets" here, for all leaders.

There is no magic bullet here for developing a culture that holds anxiety and uncertainty well. Lots of communication, sensitivity, and patience are the "magic bullets" here, for all leaders. Overemphasizing creative and innovative ideas and success makes the transition easier for your people.

The human body is not hard-wired to handle the thousands of little stressors we face on a daily basis. A leader can help by decreasing these little stressors on his/her people. By encouraging them to focus on what really matters, much of what is not critical can just be pushed aside.

The first problem for all of us, men and women, is not to learn, but to unlearn.

Gloria Steinem

For example, does the constant bombardment of email stress you out? Let's call these emails stress amplifiers. Have you ever just lost all your email—it simply vanished or crashed and you missed days or weeks of email? Did the world come to an end? Are you suffering today as a result? Have you ever noticed how so many emails time themselves out, if left unattended? How are you supposed to remember everything, anyway?

At Richmond, we tell our people: don't get hung up on emails. We meet every day. During our face-to-face, real-time discussions, you will hear what is important. In a shared-leadership style, we see the leader's role as a stress modifier. Shift that stress, so your people are ready and prepared to handle the bigger stresses in their job. And in the policing world, it is just a matter of time; they will come.

Under Construction

The way to cultivate your organization is to keep it under construction—continuous development, continuous adjustment, and continuous growth. This is the philosophy at Richmond. All of us are constantly learning and developing (under construction). We even dismantled our Training Section, which in the past was just filling courses, and re-engineered a Continuous Learning and Development Unit.

This helped all of us experience first-hand the concept that we are always learning. It also helped us understand that each one of us must take on responsibility for our own learning. Thus, many of the officers are working on both short-term and long-term learning plans that align with their long-term aspirations within policing. These learning plans help them get ready to implement their parts of the strategic initiatives that have been agreed by everyone, from the City Council and Mayor to the Support Staff.

Some leaders still operate with the assumption that an organization must be commanded and controlled. Actually, we have found that when all the pieces of the puzzle are in place from the

shared-leadership point of view, self-organization actually occurs. This is where your organization generates its own order and responds creatively to the changing environment. But, at the same time, it always remains under construction.

Promoting Ownership

Leadership is the art of getting someone else to do something you want done because he wants to do it.

Dwight D. Eisenhower

We have learned that at all levels, promoting ownership is very important. When people achieve success, promote it and promote them. Promote their self-reliance to achieve their goals.

Promoting ownership also has its challenges. Depending on the past SOPs (Standard Operating Procedures), some employees have not been encouraged or expected to take ownership and accountability. Instead, they only know how to push problems up the chain of command. Taking responsibility and making a decision is foreign to them.

At Richmond Detachment, this was occurring on a regular basis prior to our move to shared leadership. When this push upward occurred, we threw it right back at them. No longer would we either micro-manage or let them abdicate their accountability for problem-solving. But neither would we leave inexperienced or unprepared people to handle things that were over their heads.

Our philosophy is that we pay our people good money to deal with the problems and come up with action plans; they don't need to check with the leadership team each time, before they take action. So we push it back . . . gently . . . and educate them about the new paradigm. Something we are doing right now is giving ownership of community problems back to the community constables and their supervisors. We are giving them ownership and empowering them to solve the problems with the community.

At the same time, we put the accountability of these problems back to the supervisors. We are also moving toward putting the supervisors back on the street (out of the office) so these community problems are "in their face." This is where there is no denying the problems and where they will be forced by circumstances, rather than by authority, to own the problems.

The leadership team provides the backbone (support and intelligence, etc.) to the supervisors in this ownership model, but we expect results.

In times of change, learners inherit the Earth, while the learned find themselves beautifully equipped to deal with a world that no longer exists.

Eric Hoffer

At the same time, we are also asking the community to accept responsibility for problems along with us. You will hear us say to the media over and over again regarding crime problems: "It is no longer just a police problem. It is a community problem." Too often in the past, the police were blamed for the problem or were asked, "What are you going to do about it?" What we say is: It is a community problem and, yes, your police are working on this. And we need your help to make a larger difference. We need you to accept the problem with

us and assist us in root problem-solving it.

Enhancing Relationships

The world is based on relationships. Everything is about relationships. Leaders must be removed from the daily *minutia* so that they have the time and drive to identify, nurture, promote, and enhance relationships (both on the inside and outside of their agencies). This is where the real risk assessment is obtained. Many times, we thought we knew the cause of a community problem or risk, then found we were totally wrong. It was not until we had our leaders out of the office, collaborating and consulting, that the real causal issues came to light.

The Priority of Real-Time Continuous Learning

Development and Training must always remain as one of the highest internal priorities. At Richmond, we have found that our staff loves it. We work from the philosophy that we will spend our last dollar developing our people. It has paid off beyond our wildest dreams. We are enjoying training sessions that cover a host of wellness topics, leadership topics, change management topics, and job-specific topics. We even train before we “hit the road” — every morning.

This is continuous learning . . . developing people while they are in action. We have found it just makes so much sense. It also allows everyone to see that learning is a process of trial and error. It promotes risk-taking and tolerance for failures and mistakes. We have also been experimenting with job-shadowing and exchange programs for future leadership development.

Leadership is about channeling the collective hopes, aspirations, and beliefs of people into action toward the vision.

We are finding that both individual and organizational capacity is increasing as a result. In the area of police officer promotional development, Richmond Detachment has been hosting real-time leadership development sessions on a bi-weekly basis. In addition, leadership study material has also been posted on the Website, www.wardclapham.com, where we have tens of thousands of visits per year.

Running with Your Passion: Nourishing the Human Spirit

An organization is all about people, made up of people. Let them bring their whole self to work: body, mind, heart, and spirit. These are not just words; they are the essence of being human.

Leadership is about channeling the collective hopes, aspirations, and beliefs of people into action toward the vision, what Stephen R. Covey calls, “Your organization’s True North,” as mentioned earlier. Letting people run with their passion is so important. We are all inspired by participating in something important, where we can find personal meaning and satisfaction.

Coaching and Mentoring

At Richmond Detachment, we believe every person is a leader and every leader is a coach. Coaching is everyone's responsibility. It is all about our people. You must truly believe that your people are the most valuable asset—and you must show this in both word and deed.

Walk the talk. People can see past the smoke and mirrors and words. We are talking about genuine interest—really caring. No quick fix—no short cut. Coaching is a by-product of progressive leadership in action. Coaching and mentoring is not a program. It is not a plan or curriculum . . . not something you can fake or empower someone else to do.

In more detail, the following are things that occur within our leadership philosophy, which is grounded in the spirit of an abundance mentality.

- Surround yourself with great people. Don't try to be the one-and-only expert or senior leader.
- Surround yourself with the resident experts. Sometimes a great coach just facilitates the learning and developmental process.
- Surround yourself with great people and then . . . let them go! Leadership is all about letting go.
- Do the things you can do now.
- Have weekly planning meetings.
- Assume one of your roles as a coach and mentor.
- Take on role of student, also.
- Be coached at the same time.
- Develop your own learning plan (map).
- Model the way ahead.
- Manage by walking around (MBWA).
- Be a great listener.
- Determine what matters to those on your team.
- Encourage leaders who connect with you to do the same with their teams.
- Celebrate victories and failures.
- Practice the abundance mentality that recognition is for all.
- Keep in mind Leadership Succession Planning.
- Build for the future.
- Drive the new leadership model into the culture so it is not dependent on just one person; that will drive the leadership paradigm into the way business is done.

The Keys to Execution

Apply the Shared-Leadership Philosophy in the Moment of Choice

In closing, we offer the following foundational principles that we follow . . . and that have withstood the test of time.

- Apply the principles of the shared-leadership philosophy.
- Translate the philosophy of wellness into specific high-leverage activities.
- Know that wellness starts the minute we show up at work.
- Manage by walking around and talking with people (MBWA). Start MBWA the minute you arrive on site at work. To listen effectively, you must be in the environment and experience the situation.
- Meet daily and deal with both the urgent (crises) and important (pro-active) issues.
- Manage expectations daily.
- Keep the little things little. Communicate and solve problems daily.
- Repeatedly communicate consistent strategic messages.

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15 Practical Application 7: Continuous Improvement Teams for Police and Law Enforcement Agencies

A Testimonial of Implementation and Success

By **Ed Illi, MA**

I was conducting my Master's degree research project when I learned about the Continuous Improvement Team (C.I.T.) concept, through the first edition of this "Every Officer is a Leader" book. I had studied other iterations of what has become known as Continuous Improvement Teams while I was studying at the Canadian Police College in Ottawa a few years earlier. The concepts and ideas had percolated and marinated in my mind for several years and then it all started to come together for me, from theory, to hypothesis to an actual design and implementation plan.

I was indeed fortunate when I was speaking with my thesis supervisor, Dr. Terry Anderson about the CIT process in depth; when he advised me that Superintendent Ward Clapham of the Richmond Detachment of the Royal Canadian Mounted Police (R.C.M.P.) was actually using the CIT in his police detachment. When I called Ward, he invited me to come visit and observe his CIT in action. I jumped at the opportunity and was greeted warmly by all the people in the room. Back then I was a member of a municipal police force at the time, about half the size of the Richmond Detachment, and what I was most surprised by and impressed with was the diversity of the people in the Richmond meeting room. They were not just uniformed police officers; there were civilian support staff, officers from all ranks, municipal workers, plainclothes officers and so on. The point is everyone in that room was on an equal footing that facilitated active participation, candid dialogue and meaningful discourse. I was pleasantly surprised that the atmosphere in the room was of mutual assistance and professional problem-solving for each other's concerns.

I left that meeting with a true sense that all the readings, theory and ideas that had been bouncing around in my head, can and do work. I observed issues of concern being addressed by the incredible brain trust that was present in that room, with issues and problems actually being solved at the level of their root causes, rather than just being discussed. I also noted that several of the issues under discussion were similar if not the same issues we were having in the police department I worked for, ranging from minor to major problems and concerns.

I wrote copious notes, had informal conversations with several of the RCMP officers I made contact with in the weeks following, and the proverbial light bulb went on in my head that; I could make this process a part of my thesis research project in my police department. When I discussed this further with my police department sponsor, I was initially met with skepticism and caution primarily because the concept of the CIT was at odds with the status quo of a rigid hierarchical rank structured police force. I was pleasantly surprised when I received permission from my division commander to give this CIT concept a try, with the caveat that the process will have to be modified at first.

I was advised that the CIT members would be Sergeants and Staff Sergeants only, and they would bring issues forward from their platoon and section members to the CIT meetings. The Sergeants and Staff Sergeants were the Non-Commissioned Officers, (N.C.O.'s) in supervisory and leadership roles at the operational and administrative level of my police department. This was not ideal, but it was the best that could be done given the circumstances I was required to operate under. The fact that problem solving meetings were often times venues to discuss why things could not happen, my level of optimism was quite low. I remember the old school mentality of, "...we have always done it this way...we tried this before and it didn't work..." was a difficult challenge to overcome with several of the NCO's in the room.

I managed to prepare a short presentation of the paradigm shifting concept of the Continuous Improvement Team for everyone in the room. The discussion that followed was actually quite positive and the group of junior and senior leaders embraced the idea of a "level playing field" in the meeting room where ranks were parked at the door; and ideas coupled with experiences from many perspectives became the new approach to problem solving.

After several monthly CIT meetings, I conducted a meta-analysis of the issues that were brought forward for discussion and ultimately resolution. The success rate was higher than expected but there was an even more profound surprise that became evident. Not only was the CIT used as a problem-solving venue, it actually generated interest from the many Constables and other ranks within the police department. Civilian members in the records and support divisions, Telecommunications branch and other units were interested in hearing the results of their issues being addressed at the CIT level. This seemed to generate a refreshed level of hope and engagement from members of the department that quite frankly had been accepting the old status quo, and were frustrated with the apparent lack of action previously for solving issues important to them.

This is when I realized that the CIT was more than just another passing management fad, or something that could be toyed with following a week-long leadership conference. The CIT was real, effective and probably one of the most inspiring leadership development and problem-solving activities I had encountered in my then almost three decades of policing.

A few years later I was approached by a senior executive in the British Columbia provincial government public service who read my thesis and was intrigued by the Continuous Improvement Team concept for possible use in his branch within the public service. We discussed my studies, the findings and more importantly the process of establishing and maintaining the CIT, which apparently had a positive impact on employee engagement. One thing led to another and as I was approaching my retirement age for policing, I entered into a competition for the Chief Officer position at the provincial Conservation Officer Service. During the selection process, one of the kernel issues for the hiring panel was the concept of implementing the CIT in that organization, and because I was thoroughly acquainted with how it worked, I was seen in a more positive light than my competition for the position.

When I was offered the position of Chief of the Conservation Officer Service, I became aware that the organization needed refreshment and a modern vision, mission, goals and objectives. The senior officers in this provincial environmental law enforcement agency were skilled, experienced and professional officers who were dedicated to their members and the communities they served. They were hard working, task oriented people and they were trying to balance tight budgets, staff shortages, expanding government priorities along with the litany of day to day challenges that had to be managed.

I found that the senior officers and the supervisors were trapped in the business of working in the business rather than on the business. Consequently, many issues were being handled like they had always been handled, however innovation and the capacity to implement suggestions for improvement from the field officers was apparently too much to cope with. This was the vicious cycle that I could see, from an outside Chief coming into the organization, but evidently this was not clearly seen by the members who were embedded in the organization. This phenomenon was not unique to this organization; indeed, it is a common problem with many law enforcement agencies that are struggling to do more with less, yet expectations are high from the public and governing bodies.

When I toured the Province of British Columbia, I personally visited the many Conservation Officers' Detachments in their distinct geographic zones, and I became aware of many idiosyncrasies and common issues that were causing stress and aggravation for the field officers, supervisors and senior officers. There were some organizational issues, equipment matters, budget issues and the list went on, but there did not seem to be any set plan to address these many concerns. It was at first assessment quite an overwhelming challenge to see for myself the many issues that needed to be addressed before this organization would be ready for embracing the Continuous Improvement Team concept.

I had conducted a review of the many issues that were causing the organization to suffer from low "Work Engagement Survey scores", a province-wide measuring tool used by the Public Service of BC. I could see with my proverbial fresh eyes, that many of the issues causing low morale and low scores were not a consequence of poor leadership; rather an absence of

distributed leadership. This is where my firm belief in the philosophy that “Every Officer is a Leader” came to be tested for real. I realized that this organization needed a new way of addressing important matters in a timely fashion, that were geographically and regionally quite diverse, consequently the CIT became the obvious path forward.

After a few months, I convened a multi-day workshop with all the Sergeants and Senior Officers of the organization in a face-to-face setting. On the second day of the workshop, I had my friend Dr. Terry Anderson attend as a presenter for this group, where he introduced the concept of the CIT to all the officers present. It was an engaging and valuable academic exercise that had these supervisors ready to go forward with learning more about the CIT process. After Dr. Anderson finished, we took our dinner break and were ready to wrap up for the day, when several of the leaders in the group wanted to engage in more conversation about the practical application of the CIT.

I was pleasantly surprised and during our informal discussion, I suggested to this group to identify the top 10 issues they knew were causing grief in their regions. I decided to use “real life examples” to run through a simulation exercise to demonstrate how effective the CIT process could be. I must admit that during the ensuing 2 hours, the top 4 issues were addressed and were resolved at that demonstration meeting. The use of real examples of real issues and the experience of the officers in the room had demonstrated the value of the CIT: but more importantly it demonstrated that the experienced members of the organization had already figured out how to resolve matters in their respective areas. They just needed the extra step of formally coaching and guiding the problem-solving process through to the decision and action phases with the Senior Officers and ultimately with me as their Chief. I heard informally from the officers following this demonstration exercise that if this was how the CIT was going to actually work, they would buy-in to the concept and endorse it to all their members.

In the next two months, I convened a meeting with the entire organization in one central location. We must express our gratitude to the R.C.M.P and the various Municipal Police Departments that “covered for us” for a few days, taking our calls for service so that we could all come together and work on our business. The CIT concept was already discussed throughout the regions and not surprisingly it was embraced by some, while others were skeptical of this concept as being yet another management fad. What the entire organization got from me was my example of leadership from the front and I was not implementing this as a mandatory new job for them to do; rather that I was going to facilitate them solving their own problems that were important to them.

When I explained the CIT concept in the first instance in academic and management vernacular, I was met with many blank faces. I did this for a reason because when I explained it again using their own operational vernacular, it was like watching a large classroom full of graduate students finally grasping the concept. I told them, “... that all the problems, issues and concerns facing the organization today are able to be resolved because the answers are currently in this room”,

the officers nodded in agreement. The reality that every officer in the room is a leader and has been a leader in their field for their entire career thus far became a powerful realization for most of the members in the room.

The Continuous Improvement Team concept was a new way of addressing organizational dysfunction and problem solving that was not overly complicated when everyone in the organization understood how powerful and how easily the CIT works. The caveat that I had made clear to everyone in the organization, from my lips to their ears in person, was that ultimate decision making still had to rest with me as their Chief. I had to make clear that not every idea and concept for improvement or change would happen right away, because there were often times additional considerations that would come into play. The officers seemed to understand that concept as well, however they did ask that if an item came up for discussion that was not implemented nor acted upon, they asked me to just explain it to them, or communicate it in such a way so that everyone understood the reasons or rationale behind the decision.

I explained to this group that leadership flows top ranks downwards, but it also flows lower ranks upwards and also laterally across the ranks as well in the CIT world. In the operational world, I believe this concept to be just as valid in policing and law enforcement agencies as well. It was fair to tell everyone in this organization how I make final decisions based on the concept of the acronym “M.E.A.L.” This acronym is a litmus test for decision making...is the decision Moral? Is it Ethical? Is it Affordable? Is it Legal? The bottom line is the law enforcement organizations that are stuck with pushing everything upward to management to resolve for them just simply gets jammed up, and apparently minor issues of importance to senior leadership are held in abeyance or ignored. Meanwhile minor issues that are important at the field or operational levels that are apparently simple to resolve, fester and grow into an organizational infection of sorts, and the work engagement survey scores drop off. This can be an organizational destructive force that can be easily countered with the CIT.

When the Continuous Improvement Team was formally organized, there was a waiting list of members that wanted to volunteer to be on the team. The initial team members had a designated alternate person to fill in for them in the event of holidays, sickness and so on. The initial CIT was chaired by me as the Chief, however the Chair position would be on a rotation from the initial meeting forward. It became apparent very quickly that everyone on that team had to be prepared and bring their “A game” to those CIT meetings because the enthusiasm for getting things done was empowering and encouraging, and consequently diplomacy and tact had to be demonstrated by the Chair person. This type of leadership development experience was instructive and addressed the list of leadership competencies required of modern law enforcement officers, that are so thoroughly explained in the book, Every Officer Is A Leader – namely how to chair a meeting of your peers with credibility and professionalism. As Chief, I was present at every meeting to demonstrate to the CIT group this was a priority of mine and that I was dedicated to working on the business with them.

Our first formal CIT meeting was held in person, face to face for a couple of days. British Columbia is a province with a huge land mass, and it would not be economical to have all CIT meetings in person face to face. Subsequent meetings were conducted via conference calls but it was important to set the first one in person so that all members could re-connect on a personal and collegial level. I did commit to supporting an annual face-to-face CIT meeting as one of the first issues to be resolved. The initial list of issues to be addressed was quite long and at first glance seemed to be overwhelming. The group worked on brainstorming and categorizing the issues into various categories. The details for this chapter are do not need to be itemized here, but suffice to say in my experience, several of the leadership and organizational matters were eerily similar to what I had experienced in my policing career and in my Master's degree studies.

When I was taking graduate classes at my University, I remembered an exercise that we did as groups within our cohort. The students in my cohort were generally like me, all mid-career professionals from law enforcement, military, paramedicine, corrections as well as nursing, forestry, provincial and federal governments and various private industries across Canada. The exercise I am referring to was an excellent example of how a top-down hierarchical organization usually gets bogged down with the volume of issues brought forward by the subordinate groups of people. The corollary then was the *distributed leadership* so that the group could be actively involved in the problem solving; and the final decision that was made about each problem was based on the evidence presented by the individual leaders empowered to make the decisions for problem solving in the process. This exercise was unbeknownst to me, a mini CIT process, and with an academic simulated exercise the concept was an important learning moment.

Taking this learning back into my reality of being the Chief of a Provincial Environmental Law Enforcement Agency, with a significant list of issues and problems that needed to be addressed, I remembered this exercise. This is not a hard thing to do, it is a necessary thing to do and the goal is to create as many circles of leadership and leaders in the organization as possible. The CIT at first glance could seem as a huge draw on time and resources with uncertain outcomes and delays fraught with bureaucratic setbacks and roadblocks. My reality was quite different in terms of getting out of my head from an organizational bureaucratic perspective, and back into a problem solving operational policing perspective with the authority to make decisions based on solid research and evidence from the people working with me.

In our first year of CIT meetings via conference calls we worked through 75% of the issues on the list. We tackled the easier matters first and reported out to the organization our progress after decisions were made and implementation plans were ready. This process of open communications with everyone in the organization in effect allowed everyone to get involved, as everyone was able to speak freely and openly with the CIT members and get the decisions first hand when they were made. There was minimal delay in resolution of the matter to the decision phase, and individual CIT members that had championed their issue ultimately had the responsibility to make things happen to resolve it.

The CIT had become a useful and pragmatic venue for the Conservation Officer Service. I will say that some issues were not resolved to everyone's satisfaction on occasion. The ultimate decision-making and authority for expenditures rested with me, and I had to balance the entire organization's needs and wants with the budget realities of the fiscal year. In one case as an example, a CIT resolution to acquire "Approved Screening Devices" (A.S.D.) or hand-held alcohol breath testing devices for all the uniformed officers seemed rational and practical. I approved the concept with the caveat that sufficient budget had to exist before I could have approved this, but also the additional costs associated with the acquisition had to be approved as well. Things like sending officers to be certified as ASD calibrators and instructors, calibration solutions and monthly maintenance, logs and record keeping, travel time and so on had to be factored into the equation. The budget reality, at that time, was not sufficient to support that CIT initiative. That decision was explained and sent out to the CIT and all members of the organization, and even though it was disappointing, members understood the reasons for the decision. We did keep the issue on the list for future consideration and ultimately a decision was made for the matter to be held in abeyance to be re-addressed at a later time.

The successes of the CIT far outweighed the setbacks of budget constraints and staffing challenges. The issues that were resolved at the local level often times required very little in terms of financial resources, very little of actual hands-on work but did require my Chief's permission to go ahead. That was the beauty of the CIT in terms of giving members ownership and permission to just go ahead and get things done. The CIT discussions that were the precursor to decisions and permission to go ahead resulted in things being actioned and completed in surprisingly quick order, and had the positive impact on the officers seeing things done in a timely fashion. One senior officer told me in private one day that in his 30 years in the organization, he had never seen a Chief and Senior Officers take such an interest in the day-to-day work of the members in their field and actually did what they said they would do. I took this as a compliment and was humbled yet gracious, but I did assert to this officer that the answers were always there with the members, they just needed an avenue to discuss the issues, solve the problem and get decisions made quickly.

The Continuous Improvement Team concept and its reality that the CIT is a practical leadership tool that can and does work in organizations where the champion of the program believes in it, and is able to coach all the leaders in the organization into breaking the paradigm of department inertia. In our case, the reality was to explain the concept, discuss the strengths and weaknesses, opportunities and threats of the CIT and simply get on with it. When we all started our policing and law enforcement careers, I can safely say that our instructors in our respective academies told us many times, no situation will be resolved without thinking your way through it. Getting into the senior management paradigm of studies, analysis, testing and evaluating is appropriate for many initiatives in the law enforcement world. However, in the case of the CIT process, in my respectful view, there is no need to study the process or concept anymore. In the case of the BC Conservation Officer Service, one of the meta-analyses that validated the CIT process for

me was that one year after we started improving the organization, our government Work Engagement Survey Scores improved by an unprecedented 60%!

The other major benefit of the CIT as a leadership development tool is that all members participating had the opportunity to see what matters needed to be considered when decisions were being made in the context the entire organization. Officers from small detachments in rural British Columbia received an education with respect to how decisions made by individual officers could have a positive impact on other officers throughout the province. The corollary was also showing the members of the CIT and others that for every decision made there was an impact on other areas of the organization as well. This type of real life experiential learning for the CIT members was just as beneficial as going to school and learning about this concept in an academic setting, without the disruption on taking leave from their careers.

When the Work Engagement Survey scores were published within the Provincial government, I was summoned to a meeting with senior government officials within the public service. Their compliments were received graciously by my senior staff and me, but when I was asked how it was done so quickly, I had to be blunt with them. I told them the red tape and bureaucratic systems within the public service part of the problem was not a surprise to us, but it was slow moving and discouraging for action oriented environmental law enforcement officers. I explained that officers are used to being out on their own, usually in remote areas of the province, often times making life and death decisions with little or no backup, with no time nor ability to consult with others when making decisions. They had to rely on their training, experience, common sense and leadership to resolve the problem at hand in the first instance. This was the reality of law enforcement officers everywhere, and indeed is one of the main qualities assessed when a person goes through the hiring and selection process. Then when something simple such as acquiring new equipment for their work area, like an office chair or a computer becomes a yearlong exercise in red tape futility, it was no wonder they were frustrated and their engagement scores were rated so low.

When I explained the CIT concept and the philosophy that *every officer is a leader* in their own right, some of the senior managers in the public service seemed to get it, and seemed to understand. With some others, it seemed like the status quo was being challenged and that the whole government bureaucracy was being threatened. The fact remained that the policies and procedures for most government agencies were adequate for the tasks they were designed for; however, a unique organization that has the powers of arrest and authorization to use up to lethal force was something outside of some of the assembled group's comfort zones. Notwithstanding the specifics of the law enforcement profession, the differences between people of action and people whose job it is to study, analyze and develop policies as "one size fits all", the idea of multiple circles of leadership seemed to contradict their paradigm. I noted that given the current success of the organization I was proud to be the Chief of, I was asked if perhaps there was common ground that could be implemented in other government agencies.

The answer seemed obvious to me, however I decided that perhaps experts in this CIT concept specific to the public service may be in order.

The CIT process led to clarity for all stakeholders about the decision-making processes involved at all levels of the organization, but it also taught tolerance and patience given the fact that the organization was a part of a larger provincial organization that has tight control over budgets, staffing, equipment and facilities. When the CIT members began to achieve success in developing leadership skills and competencies within their own organization, it came as no surprise to look outward and find other provincial government organizations that had embraced and implemented the CIT concept were achieving similar results within their organizations. I have a friend who has a management consulting practice and some of his clients are in various levels of government organizations, here and across the country. His practice specializes in the Continuous Improvement Team concept, consulting and coaching in order to get branches to build on their strengths and problem solve from within.

Leadership development and the Continuous Improvement Team concept is a symbiotic relationship for members of any law enforcement organization, in my respectful view. When people step forward and want to help others within their organization, the organization benefits and the person stepping up develops a better understanding of how things get done within the parameters of the department or agency. The key to developing solutions-centered leadership organizations is to learn from each other and respect the fact that ideas can start planning, planning starts dialogue and that dialogue results in actions for people that are motivated to improve their current situation.

I must emphasize that the term “Continuous” in the Continuous Improvement Team concept means just that; it is an ongoing work-in-progress that does not have an end date. It is like any interpersonal relationship in that if the participants are invested in the relationship and they continue to nurture it and let it change and evolve with the times, then experience shows that the relationship becomes stronger. In my experience in policing and law enforcement agencies, it is a difficult task to keep the senior members invested in organizational leadership, unless they are recognized for their experience, that their opinions and skills matter to the people in the organization. Keeping those senior officers engaged can be achieved by simply using them as coaches, mentors, or the keepers of the intellectual property of the organization. My experience has been that most senior officers are very proud of their work in their organization over the span of their careers, and to be asked for their opinions on things can be the greatest engagement tool available. The goal is to continually improve upon the reputation and efficiency of the people that came before them, honoring the contributions of the past members and building upon a legacy of excellence, integrity and superior public service that is something that most law enforcement officers joined up for. Therefore, the whole is greater than just the sum of its parts and the people that value their place in an organization will, when given the opportunity, rise to the challenge of leadership through actions and not just words, be seen as leaders regardless of rank or position.

Leadership is action, not words or positional authority in any law enforcement agency, therefore the Continuous Improvement Team is the epitome of leadership through action.

16 Practical Application 8: Lean Six Sigma for Law Enforcement

By **Bill Cooper, MBA, MA**
Chief of Police (Ret'd)

“For organizations to reach their potential, learning and ideas must preside over the status quo and tradition.” Jack Welch

This chapter will introduce you to the basics of Lean Six Sigma, and the value of it to justice and public safety agencies. The need for greater efficiency and effectiveness in virtually everything in an organization continues to grow and become more of a priority. Identifying and eliminating what doesn't add value and reducing cost has become more important every day. Not everyone in your agency will become a Lean Six Sigma expert or achieve the level of expertise of the Black Belt. However, every agency needs at least one person in their organization who is savvy in Lean Six Sigma to advise the Executive and Management Teams, and to provide ongoing leadership in continually improving all aspects of the business of policing or other justice and public safety agencies. And, it is important for everyone to understand the value of Lean Six Sigma so that internal culture clashes (between the old way of doing things as the status quo) and the new way of continuous improvement are virtually eliminated.

At this time in history, this knowledge and expertise is within reach of anyone who wants to learn it; and it is beginning to be used in policing and other parts of the justice and public safety system. This introduction will help you understand enough to appreciate the value of Lean Six Sigma and have the foresight to capitalize on this intelligent approach to the development and continuous improvement in your organization and your community. We strongly recommend that every Management Team have a Continuous Improvement team with at least one Six Sigma Certified expert on that team. We will explain why this is so important and beneficial below. We simply must do for the criminal justice system what this Lean process has done for the innovation and improvements that have occurred in automobiles, cameras, electronics, and watches in the past 60 years.

By Definition

Lean Six Sigma is a business philosophy and practice that is focused on the continuous identification and elimination of waste, re-works, and redundancy from all processes so they flow at the rate of “customer” (citizens and employees) demand, at the same time improve the overall quality of the products or services. This is the new paradigm of doing business that optimizes value for the sake of the customer (both citizens and employees) in all processes.

Lean Six Sigma is continuous improvement, a process improvement methodology, a results-oriented, focused approach to quality. Lean Six Sigma minimizes mistakes, maximizes value and creates precision in the work. It measures and sets targets for reductions in problems and defects which translates into cost and time savings and dramatically reduces the chances of introducing errors in the future. Lean Six Sigma develops the practice of getting it right the first time, and keeping it on track with performance standards – with less stress and often less cost than the old status quo paradigm.

Operational Excellence

Lean Six Sigma involves the philosophy of operational excellence – leadership, teamwork, and problem solving resulting in continuous improvement throughout the organization by focusing on the needs of the customer, empowering employees, and optimizing existing activities in the process. Lean Six Sigma trained employees will find opportunities for process simplification that will save time, money, stress, enhance performance of employees, and elevate citizen trust and satisfaction with policing services as a result.

Lean Six Sigma is the single most effective problem-solving methodology for improving organizational performance. The evidence leads you to the real causes of problems, allowing leveraged solution generation. It improves the speed to completion – you don't have to work harder or faster to produce more speed because it removes the barriers and obstacles, getting you from beginning to end faster.

An organization is a set of processes and Lean Six Sigma is about business process simplification. It makes the statement that if it's not measured it can't be managed: Therefore, metrics/data are essential to proper management. Get the right information analyzed and measure progress against goals, expectations, and outcomes become so clear that the information is much more meaningful and useful in making critical decisions.

There is not a single business, technical or process challenge that cannot be improved with Lean Six Sigma. It is the only strategy that makes sense in the face of unpredictable change, especially now that change is a constant.

Departments have inconsistency in their processes, systems, and services. Professional results demand consistency; inconsistency degrades good performance and inconsistency is all about waste, redundancy, and re-doing work that has already been done.

The Concepts and Tools of Lean Six Sigma

Below is an introduction to some of the concepts and tools that you can learn to use in the Lean Six Sigma process.

Waste – what is it?

- Any activity that adds cost and/or time, but does not add value.
- Consuming more resources (time, money, space, people) than are necessary to produce the goods or services the customer wants.
- Pure waste: actions that could be stopped without affecting the customer.
- Incidental waste: actions that need to be done based on how the current system operates, but do not add value.

Any task that can be performed more efficiently and isn't is an example of poor quality and increased cost – waste.

$Y = f(x)$ is the equation that drives Lean Six Sigma. The output (Y) is a function of the input (x). Systems and processes are comprised of multiple inputs (x's), and those inputs determine the highest level of efficiency or accuracy (the output) for that particular system or process. The quality of the output is only as good as the quality of the inputs(s). This equation is foundational to the Systems Thinking approach to Strategic Management, which is the strategic management model that was introduced in Chapters 6 and 7.

DMAIC: Define, Measure, Analyze, Improve and Control

This is, in its simplest form, the methodology itself. By following this method, problem identification, problem solution development, and evaluation/sustaining are fast and easy to accomplish.

- Define:
 - What exactly is the problem and its root causes?
 - How long has it been going on?
 - Where is the department at now, versus where it needs to be?
 - What has the problem cost the department?
- Measure:
 - Collect necessary data
 - How many opportunities for defects or delays are there in the process?
 - How many defects or frustrating delays are there?
 - What does the department expect in terms of what is acceptable? (gap analysis)
- Analyze:
 - Look for real causes
 - How successful is the process working compared to what is possible?
 - What are the key inputs into the process?
 - Which inputs are causing the problem?
 - Why are the problems occurring?

- Improve:
 - What will it take to fix the problem? Use data to drive to the solution and measure the outcomes of intervention.
- Control:
 - How will the department continue the success achieved? Use data.

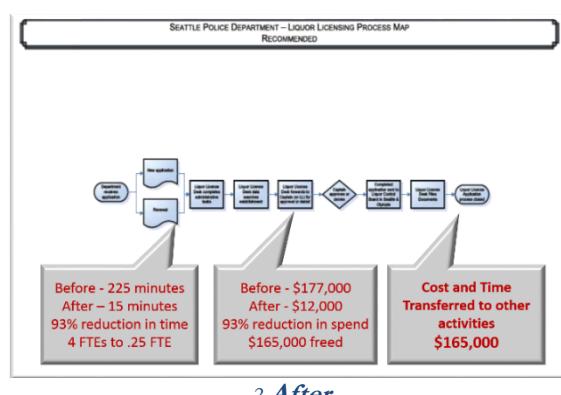
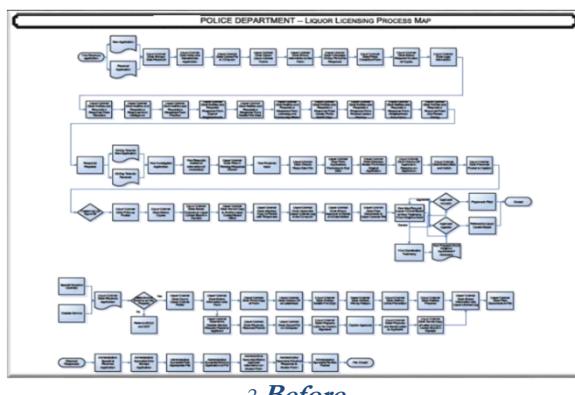
Of the many tools offered by Lean Six Sigma, these following few are a) easiest to use, and b) provide near immediate results.

The Clarity of Process Maps

A process is described as a series of steps or actions to achieve a specific purpose. Pretty much everything we do is a process in one way or another – it describes how things get done, step-by-step. A process map is a graphical representation of all the steps in the process, in order of how they occur. With a process map you are able to determine what adds value to the process (called value-add) and what doesn't (called non-value-add). In constructing a process map, there are various symbols used to describe beginning and end, decision points, breaks, and others. For simplicity's sake, we will only use the rectangular boxes to build the process map.

It is important that as the process is mapped, every step be included, regardless of how minor it may be. Also, as the steps are added, determine how long each step takes (in minutes), who does the step and how much that person is paid is salary and benefits per hour to determine the time and cost per step. Once done for all steps, total the timer and cost to complete the entire process – once. Then determine how many times per year the process is done and total the time and cost annually.

When this is done, after determining all steps that add little to no value to the process, remove those steps and re-do the map with only the remaining steps. Recalculate the cost and time for the updated process map and compare it to the original; calculate the new cost and time annualized. This will demonstrably show significant savings in cost and time. As you develop more process maps, the savings in cost and time add up. Now, ask how you can use all the time freed up to address true concerns.

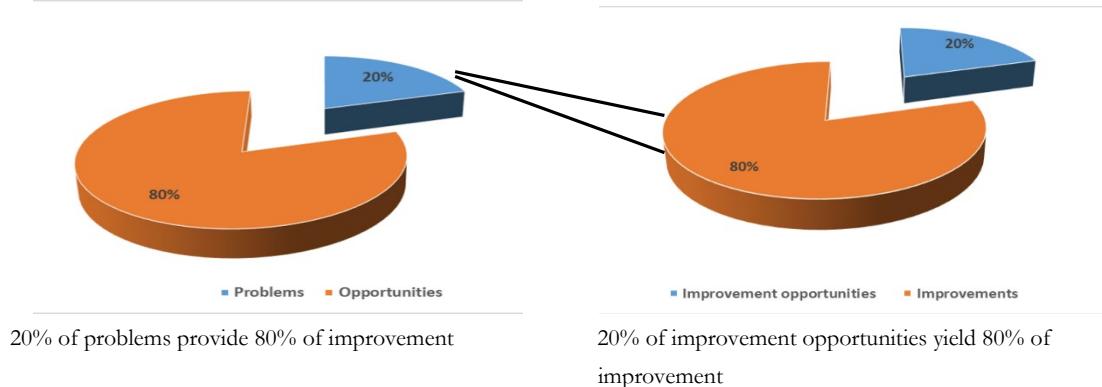


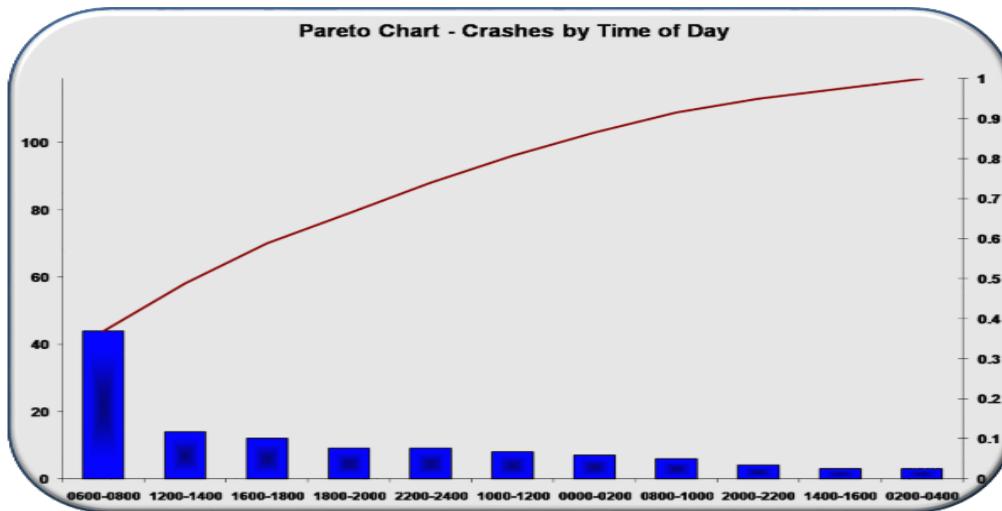
Affinity Diagrams

Affinity diagrams organize large amounts of ideas and/or information into groups based on normal relationships. These diagrams are more frequently used in brainstorming sessions where innovative ideas and/or solutions to problems are sorted into groups. The best way to do this is to have members of the group write one idea on one sticky note paper – one idea only. All the ideas are placed on a board and organized by topic so there is a natural relationship among the ideas. Those that are duplicates are eliminated, as are those with no relation to the topic. The remainder are organized by topic, allowing for the initiation of the discussion about resolution. This allows identifying the urgency and importance of problems, and evaluating the relative merits of multiple possible solutions: This gives everyone on a Continuous Improvement Team consensus-based intelligence that they would never achieve without the process; and this has a profound impact on the success of implementation of a solution or action plan. The principle from Systems Thinking is: **people who help to create a solution will help to implement it.**

Pareto charts – 20% of the problems provide 80% of the improvement opportunities. 20% of the improvement opportunities yield 80% of the improvements. In policing we often see 95% or 90% of the problems are caused by 5% of the people. Pareto charts are used to display the relative importance of all of the problems or conditions in order to choose the starting point for problem solving. Vilfredo Pareto, an Italian economist in the late 1800's, concluded that 80% of the world's wealth was held by 20% of the population, thus was born the Pareto Principle, which has been extensively used in a multitude of areas.

This graphic shows how the Pareto Principle works; that in any organization a small number of problems cause the biggest negative impacts; that by address these particular problems, the greatest opportunities for improvement present themselves.

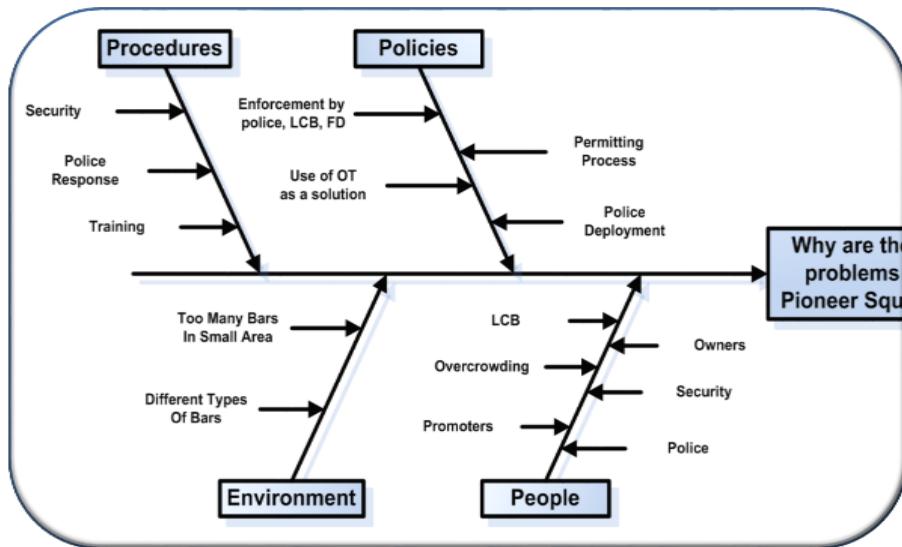


*3 Pareto Chart*

The principle takes data and using the Pareto Chart tool, can immediately create a ranked order of problems, allowing, in most cases, a good starting point to take on and resolve problems, as seen in the above chart.

Cause and Effect Diagrams

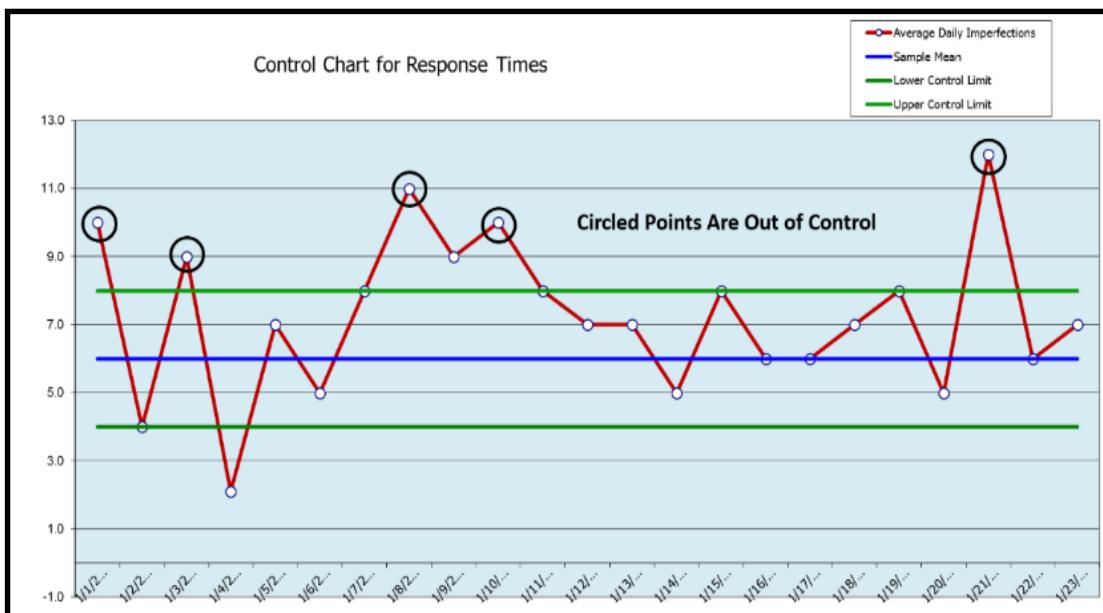
Used to identify, explore, and display the possible causes of a specific problem. The “head of the fish” is the problem and the “bones” list major and sub-causes of problems. A good graphical tool to show potential causes of problems, allowing a quick approach to developing solutions.

*4 Ishikawa (Fishbone Diagram)*

Control Charts

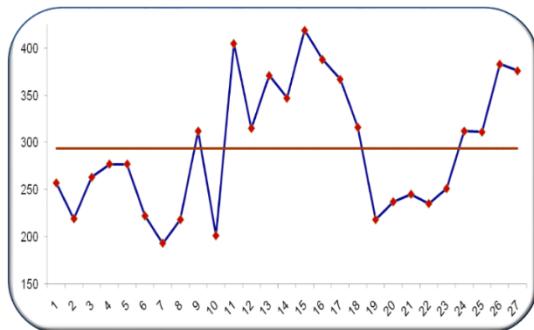
These simple charts are used to discover how much variability there is in a process or system that is due to random or unique/individual action in order to determine whether a process is in statistical control. These charts identify the upper and lower control limits as set by the organization or constituents. For public safety, a common use is response time to emergency calls; typically set at 6 minutes. Constituents (and the department) want to see that achieved 100% of the time, but doing so is unlikely. Data gathered and assessed can clearly show specifically where it was/was not achieved.

Assume recipients are satisfied with the 6 minutes. They will be satisfied if response time is less than 6 minutes, and if response time goes to 8 minutes, that is acceptable. The control limits have been set, so how is the organization performing against those expectations, and if they weren't achieved, when did that occur, and why? These are questions that may be answered far more easily than trying through estimating or guesswork. The elimination of estimates and decision-making premised on facts drive far more effective solutions.

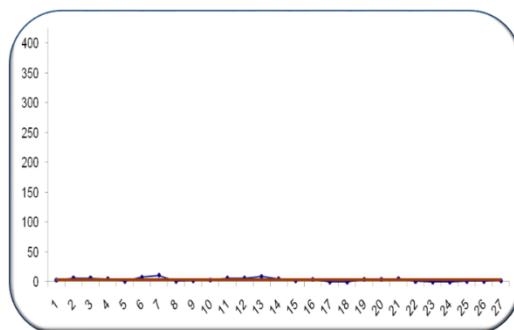


5 Example showing System Out of Control

Run Charts



7 Before



7 After

A Run Chart displays a set of data over a period of time, typically relative to a performance or service issue. In the graphic below, this set of data describes specific entry of information into a public safety report; that information is entered often incorrectly, creating credibility and other issues that consume considerable time and effort to fix. As seen in the example below, the before chart shows significant numbers of errors made daily over the course of one month. The organization asked why the problems were occurring using the 5 Whys tool, and after determining and fixing causes, the changes are dramatic. The benefits to the department cross several areas, and the graphics clearly demonstrate the achievement.

5S's

This list identifies how to organize a workspace to improve efficiency and effectiveness.

- **Sort:** identify needed items for your work area
- **Set in order:** create a place for everything; everything in its place; ease of access
- **Shine:** keep items and the work area clean
- **Standardize:** put standards in place and monitor
- **Sustain:** keep the progress



9 Before



9 After

By using this tool, you establish the ability to work faster and easier, saving time and cost. Imagine how much time was spent searching for documents, tools, or information in the before picture, then in the after, when everything is organized and easy to follow, look at the improved productivity.

5 Whys

This tool is a simple and easy way to identify root causes of problems and is generally applicable to most any issue. Start with a problem, then asks why it is occurring. Ask why again 5 times to reach the underlying cause of the problem. Then, fix the 5th why and that countermeasure prevents the problem from happening again. It is important to be honest in asking and answering the right questions.



10 5 Whys

Using any one or all of these excellent tools, the benefits of Lean Six Sigma become obvious. The time commitment to learn these is very small, they are easy to apply, and the outcomes are substantial in virtually all cases.

5 Laws of Lean Six Sigma³⁵

To fully understand the capability of Lean Six Sigma one should read and understand the business laws that influence it. Each of these has a direct impact on what the department does (or doesn't do).

1. **The Law of the Market** – what the customer (citizens and employees) defines as critical to quality drives the priority for improvements where needed. Consider both internal and external customers or constituents.

³⁵ *The 5 Laws of Lean Six Sigma*, Aveta Business Institute, 2014

2. **The Law of Flexibility** – the velocity of any process is proportional to the flexibility of the process. The more flexible the process is to change, the better the progress. The more inflexible the process or system the longer it takes and the more inefficient it becomes.
3. **The Law of Focus** – 20% of the activities in a process cause 80% of the delays. Focus on the 20%. Consider the Pareto Principle; the numbers are flexible in their scope.
4. **The Law of Velocity** – the velocity of any process is inversely proportional to the amount of work in progress. The higher the number of unfinished tasks, the lower the speed of progress.
5. **The Law of Complexity** – the more complex a task is the more work and cost will be added. Make the task as simple as possible to eliminate poor quality or slow speed.

Having read about Lean Six Sigma and its possibilities, you may expect to achieve any or all of the following results:

- Faster service
- Higher quality
- Lower cost
- Increased performance
- Increased credibility
- Increased morale
- Predictability
- Competitive differentiator

Lean Six Sigma is considered to be one of, if not the most powerful management systems ever devised. While designed for the private sector, this author and others have used it extensively and very successfully in law enforcement. The results typically demonstrate successes above expectations.

17 Prologue: Police Leadership from a Futurist Viewpoint

By **Anthony H. Normore, Ph.D.,**

President of National Command and Staff College, & Chair of the Criminal Justice Commission for Credible Leadership Development at International Academy of Public Safety

Law enforcement is a storied profession that dates back centuries. Modern policing is a great mix of tried and true methods combined with application of the latest cutting-edge theories and technologies. The profession is growing and advancing to meet the needs of the 21st century environment. It is a growth industry, and the future of the profession could not be brighter. Today, the role of police is evolving to encompass broader areas of influence, from local community problems to global issues. The impact an officer can have on a community goes far beyond arrest and prosecution of criminals. The focus has become more on change leadership, competence, problem solving, analysis, and collaboration among community groups and other police agencies.

Importance of Change Leadership

Changes affect police responsibilities, police organizational structure, qualification requirements and police identity and understanding. Similar to the earlier research by Ranier Schulte (1996), challenges and expectations regarding the way in which the police should perform their duties, the general circumstances under which police work is done, the regulatory framework for acting and police performance measurement have become more demanding than before. This is not only true for external duties, but also for the organizational and leadership culture. Police work and police responsibilities are more thoroughly viewed under aspects of legitimacy. There are close links between this kind of requirements and high 'expectations from the public whose police service-both the whole organization and the individual officer-should have a problem-oriented approach, act in accordance with the situation, in an anticipative, competent way and with a sense of social responsibility.

Law Enforcement from a Futurist's Lens

The public scrutiny currently placed upon police will require leaders to be more focused and vigilant than ever before. Cappatelli (2016) identified numerous law enforcement challenges in the future that will require not only training in tactical strategies but also critical competency based leadership approaches and development. Among the challenges identified is *anti-terrorism*. Referring to the 9/11 terrorist attack, the more recent carnage in Paris and San Bernardino, California, Cappatelli states, "it is clear that local law enforcement will once again play a critical role in gathering intelligence and preparing for the possibility of an attack. The challenge for law

enforcement will be to strike a balance between the need for sophisticated military-type equipment against the public scrutiny about the ‘militarization of the police’ (para. 3-5). Another issue identified is the *body worn camera (BWC) scrutiny*. Cappatelli asserts, if an agency utilizes BWCs, then it should be prepared to defend its policy for release or retention of recordings – that the decision to retain or release BWC recordings is clearly up to each individual department. He further claims “whatever an agency chooses to do it needs to be consistent. For example, do not give in to the temptation to release the BWC videos showing officers doing good deeds (saving lives, helping homeless people, etc.) while withholding the controversial ones” (para. 6-8).

Other issues identified include *civil unrest*. Cappatelli highlights that protests and demonstrations for incidents and verdicts will likely continue well into the future. Unfortunately, ‘they will not be short-lived and several will come out of one incident. The first wave of unrest comes as a reaction to a particular incident. Then, there is a demand for termination, prosecution, resignation, etc. of those involved. Next, there is the reaction to a decision to prosecute or not’ (para. 8). He further claims that “nationally organized groups will provide support for locals. In some cases, anarchist-type protestors will travel to your city” (para. 9). Once again, training will be the key to preparation for the line officers. Many lessons - positive and negative - can be gleaned from the unrest seen in Ferguson, Baltimore, Chicago, Charlottesville, and elsewhere. If agencies have not already done so, “they need to designate a person within the department to ensure that action plans are in place and the troops are trained in effective crowd control methods. Equally as important is the need to maintain positive relationships with local faith-based groups and civic leaders. These relationships will prove invaluable in the wake of a controversy” (para. 10). Then there is the *criminal prosecution of officers*. Little can be done “to prepare for such situations other than to make sure the bar for professional conduct is raised high within police organizations. The most common activities whereby criminal prosecution could result are armed confrontations and vehicle collisions. Identifying potential problems before they manifest into criminal misconduct is essential. Proper training in the use of deadly force and safe vehicle operations are paramount to averting disaster in these critical areas” (para. 12).

Cappatelli identifies the issue of *federal agency involvement/ oversight* who in the past few years have responded rapidly to intervene on local police matters. Much can be learned “from perusing existing published research reports, consent decrees, monitors or other documents where federal agencies have been involved” (para. 14). *Recruitment and retention* of officers is always a challenge “but with efforts to keep the morale and enthusiasm for policing at high levels”, coupled with “strong, competent leadership and a healthy relationship with communities, it will offset negativity and maintain the esprit de corps that the profession so rightly deserves” (para. 16).

Finally, the role of *social media* will continue to scrutinize law enforcement. Police cases are tried in the court of public opinion on the internet. The favorite media ‘buzz phrase is, ‘officer caught on video’ which immediately proscribes that an officer was doing something wrong. Plaintiffs’

attorneys are utilizing social media to publicize cases in an effort to prejudice the pool of potential jurors. In some cases, law enforcement has taken to social media as a means to defend the actions of officers under scrutiny” (para. 17). This can be a double-edged sword. Here again, “consistency is essential. If agencies comment on one case and not another, it suggests that there may be something nefarious to hide. Therefore, agencies are encouraged to embrace social media, but not to be too over-zealous in its use” (para. 18).

Every Officer is a Leader

Efforts to duplicate effective strategies and policies can be seen around the world. Yet, despite the best efforts of talented police executives, periodic incidents of corruption and abuse of force and authority continue. Numerous improvements over the years, however, have addressed these challenges. Former superintendent of New York State Police, Tom Constantine (2014) states, “...candidates who want to enter law enforcement face intense competition...are often college graduates who also served in our voluntary armed services.... must score on entrance exams, pass physical agility tests, undergo polygraph test, and pass psychological evaluations and rigorous background investigations” (see Foreword, Jeffrey Green’s *Decision Point*, 2014, p. xv). Constantine further suggests, “despite these efforts, some police officers will commit crimes, abuse citizens, or use excessive force and unjustified force. Although these instances tend to be the actions of an individual officer or a small group, we even see cases of sporadic, systemic corruption that often include command staff” (p. xvi).

Every Officer is a Leader is the next step in addressing these, and more, challenges. Furthermore, it responds to the policing challenges identified in the literature more than 20 years ago by Schulte. As reiterated by Schulte, if challenges are to be met then there is a need of having specific qualifications. Both is needed, professional police expertise and skills that are essential for planning and conducting operational duties. A thorough legal expertise is essential, as is the knowledge of psychological and social processes, a sound knowledge of societal and political evolution. In addition to intellectual and mere cognitive skills it is essential to be equipped with a high standard of interpersonal skills and personal awareness (See Shulte, 1996).

Every Officer is a Leader focusses on the individual officer and her/his skill development, competencies and other learning needs, while making it clear that the broader culture and traditions of the agency play a major role in the overall holistic development of the officer. They have shared pivotal concepts that range from new knowledge and understanding about how transforming leadership builds a leadership and learning organization, and what leadership theory, practice, and skill development look like when effectively put into action. With this new understanding about leadership, policing and law enforcement agencies should now be well-positioned to compile a repertoire of competency-based approach to leadership, and use it to continuously improve their agencies and organizations. *Every Officer is a Leader* therefore provides value to a wide audience, including those in entry-level through supervisory, leadership, and management level training programs. Additionally, the content is highly recommended for

current and aspiring justice and private security leaders, as well as those in Homeland Security, Military, Regulatory Agencies, Public Service Agencies (fire, ambulance), Private Security Agencies, Correctional Agencies, Corporate and Governmental Security Departments, Universities, Colleges, and Justice Institutes, and City Managers, Mayors and Council Members.

Profile of the Future Police Leader

When thinking about the profile that a police leader of the future should have it seems appropriate that his/her leadership and professional skills cannot be considered in isolation from other values. Those who aim at implementing objectives, plans, or responsibilities internally or with the support of the organization have to make sure that the members of this organization actually follow them. An outstanding performance may only be achieved if staff members feel satisfied and if they are positively motivated. It is essential to create, practice, and sustain a leadership culture that comes up to modern societal needs. It involves change, and change is constant and unrelenting. The future police leadership in policing should be as much about tomorrow's opportunities and threats as it is today's.

A critical need is for the future police leader to become better equipped to mentor, coach, and develop other leaders, both within their agencies and in their communities. Developing this essential kind of leadership will enhance our collective abilities to be more effective, in partnership with other community leaders. In this way, we will create future-oriented solutions to complex, emerging problems. Our police leaders must be prepared to offer the support, assistance, knowledge, skills, and tools to address critical community issues on local, national, and international levels. In this way, we can be advantageously pro-active as dynamic providers of justice, public safety, police, and security services by learning to identify and address the causes and not just the fallout of social dysfunction.

Every Officer is a Leader provides the future police leader a guide for success. Learning the 60 skills for leadership competency will assist police officers, police leaders and others in security organizations and public safety identify and capitalize on their own and others' leadership strengths. It will help in assessing training requirements to gain critical knowledge and skills to become a better leader of individuals, teams and organizations. Moreover, it provides an opportunity for leaders to develop leaders who will develop other leaders through training, coaching, mentoring activities and programs. Among other skills, it will also help expand awareness and versatility skills needed to adapt to fast-changing, dangerous, or otherwise demanding environments using role, style, and skill-shifting skills. Above all else, the mastery of these skills indicates a police leader should understand current realities and see how transforming leadership fits into world of today as enhanced learning occurs in the form of coaching and mentoring while simultaneously attending to the security and enforcement requirements of the communities served.

As iterated in *Every Officer is a Leader*, open-minded and honest interpersonal dealings are essential for putting these requirements into practice. It means to accept individual patterns of

other human beings, and to work with others who have values and behavior even when they do not match with our own. Furthermore, it means “to appreciate the members of the organization as individuals and the work they are performing, and to deal with them irrespectively of their hierarchical status. It is only then that a leadership culture of mutual respect and dignity, confidence and partnership in the cooperation will flourish. Team spirit and the awareness of giving one's best to achieve shared goals and visions are the expressions of such an administrative culture. Restraint, patronage and distrust are not compatible with such a culture” (See Schulte, 1996, para. 15).

Final Reflections

What communities are in need of are police agencies and those who lead them who appreciate the members of their agencies as partners and who are able to establish a shared consensus. We need people who do not polarize but integrate, who do not exclude but include, who implement instead of enforcing. The core element is the fundamental internal attitude of the leader, not only perceiving the functioning value of the staff working for him/her but appreciating the dignity of the human being as an individual. Such an outlook on human beings requires leadership skills which are very much rooted in the personality. Core elements of leadership (see Schulte, 1996, para. 18), and reiterated in *Every Officer is a Leader*, include, “preparedness for understanding, fairness and honesty, acceptance and open-mindedness, honoring the integrity of differences, self-confidence on one hand and interpersonal skills, conflict handling capabilities, and frustration on the other. A maximum of personal involvement is a pre-condition for such ambitious expectations”. In the end, it is every individual's daily work with himself or herself and a lifelong development process. Within this context, we anticipate that future police leaders not only have a broad range of professional skills but also have qualified social and interpersonal skills that enable them to conduct leadership processes in a humane and confident way. This is all to say that police educational work may not neglect such transformation processes but integrate them. A police officer, should be take time to reflect daily on ethical responsibilities toward the community he or she serves. They should not feel they have the power to take freedom away but instead feel honored ‘to serve and protect’ with virtues, shared vision, and shared leadership with their communities while maintaining community safety and building trusting relationships. *Every Officer is a Leader* will help champion this cause and serve as a catalyst for this positive change.

A renewed focus on magnanimous officer leadership, its credibility, and its importance in a security conscious world is key to managing the transformation process and risk. Developing the inner strength and resilience that is required for effective leadership performance in any roles - especially during times of volatility, uncertainty, complexity and ambiguity (VUCA - see work by Watt, Javidi, and Normore, 2016) becomes pivotal in the success of future leadership in policing. As introduced in the beginning of this new volume of *Every Officer is a Leader*, the MAGNUS officers are credible leaders because they embody the noble cause of serving justice shielded under the authority of faithfulness, humility, respect, compassion, wellness, responsibility,

truthfulness, honor, gratefulness and servant-orientation. They accept the mission with automatic accountability and a moral compass, paying it forward. An embedded theme throughout this volume is one whereby the personal, team, and organization development skills outlined are the necessary pre-requisites to successful implementation of any leadership development program, public safety operation, community policing strategy, or community initiative. The authors make it clear that when leaders have the requisite skills, they are much more capable of leading teams to achieve organizational results that meet community needs and solve community, interagency, national, or international problems. There is a need to take advantage of leadership knowledge and skills. This book is critical to get the reader started on the journey of leveraging a major resource -*Every Officer is a Leader*, - in order to enhance and build on the competency in law enforcement leadership.

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Endnotes – Hypertext Link Addresses

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