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Sergeants as Leaders: A Case Study of Transformational Leadership Among First-Line Supervisors in the Police Department

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Sergeants as Leaders: A Case Study of Transformational Leadership Among First-Line Supervisors in the Police Department

Abstract
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Sergeants as Leaders: A Case Study of Transformational Leadership Among First-Line Supervisors in the Police Department

By
Betty L. Campbell

Submitted in Partial Fulfillment of the Requirements for the Degree Ed.D. in Executive Leadership

Supervised by
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St. John Fisher College at the College of New Rochelle

August 2011
Dedication

I dedicate this to my parents Verta R. Campbell and the late Howard B. Campbell, Jr. and to my children Christopher, Lawrence III, and Olivia. Thank you, for your unconditional love and support. To the home team: my husband, Lawrence E. Darden Jr. thank you for supporting me through this journey and taking such great care of the kids. To my sister Valerie thank you for always being there for me. I could not have reached this milestone without your support and encouragement. To the countless number of family and friends (Karen, Susan, Sharon, Christy, Ms. Iris, and Donna) who have supported me both emotionally and spiritually, thank you. Lastly, to my Executive Mentor, Dr. Gilbert Louis, thank you for your guidance, support, and friendship.
Biographical Sketch

Betty L. Campbell is currently the Director/District Liaison of the 9th Judicial Problem Solving Courts, which is a part of the New York State Unified Court System. Ms. Campbell attended Iona College from 1994 to 1996 and graduated with a Bachelor of Arts/Sciences degree in 1996. She attended New York University from 2000 to 2003 and graduated with a Master of Public Administration. She came to St. John Fisher College in the summer of 2009 and began doctoral studies in the Ed.D. Program in Executive Leadership. Ms. Campbell pursued her research in Transformational Leadership in Policing under the direction of Dr. Claudia L. Edwards and Dr. John J. Koster and received the Ed.D. degree in August 2011.
Acknowledgment

I would like to extend a special thank you to the Police Commissioner of the Echo Bay Police Department under whose leadership and guidance police officers for the twenty-first century are developed. I would like to acknowledge the men and women of the Echo Bay Police Department for their hard work and dedication to the policing profession. To my “gatekeeper” and expert panel members thank you for sharing your expertise, wisdom and guidance. To the sergeants of Echo Bay, thank you for allowing me the opportunity and privilege to share your story. I would like to thank my Chair and Committee member: Dr. Claudia L. Edwards and Dr. John J. Koster for their support and guidance. To the Executive Leaders in the judiciary: Hon. Alan Scheinkman, Nancy Mangold, Hon. Richard Molea, Hon. Juanita Bing Newton, and the Hon. Preston Scher (retired) your insight, guidance, support and most importantly your encouragement was invaluable, thank you. To cohort one at SJFC at CNR it was a memorable experience and I wish you all the best. To the SMART team Harry, Janice, Noreen, Shelly, Estee, and Tahira, thank you for being such a great support system. To Dr. Sam Walton and Dr. Ronald Valenti, it is because of your vision for the program that my dream has become a reality. Thank you.
Abstract

This qualitative research examined the leadership styles and professional development practices of a police department, the reflective experiences of police sergeants as they transition from being patrol officers, and the perception of police sergeants of their career development. Specifically, this study sought to answer the following essential questions: (a) What are the self-reported and observed leadership styles and practices of police sergeants at the Echo Bay police department? (b) To what extent do police sergeants practice the tenants of transformational leadership, and (c) How do police departments develop the leadership competencies of their police sergeants. The researcher used four different techniques (a) in-depth interviews, (b) focus groups, (c) direct observations, and (d) a survey as part of the qualitative component of the research and the Multifactor Leadership Questionnaire as part of its selection activity. The results using a coding process revealed some major themes that indicated that sergeants used idealized attributes, individualized consideration, inspirational motivation; all features of transformational leadership. The studied police department promoted professional development by offering tuition reimbursement, job enhancement, and job enrichment. The research revealed that the police department had an informal talent management system which included: coaching, mentoring, job rotation, and job expansion. The researcher recommended that further research should include the entire command structure (patrol officer to commissioner) and, most importantly, the institutionalization of a talent management system in which patrol officers are exposed to
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Chapter 1: Introduction

Today the world is confronting a number of challenges: increased famine, poverty, economic distress, terrorist threats, and politically destabilized countries. The U.S. economy is faltering, a condition long associated with the increase of crime. Recent news reports have highlighted the different types of crimes sweeping the nation. Events such as (a) Bernie Madoff’s Ponzi scheme; (b) the fall of New York’s former top cop Bernard Kerik; (c) failed terrorist attacks on Christmas Day 2009, Northwest Flight 253, and the 2010 Times Square bombing plot; and (d) the Newburgh Four, exemplify the diversity and complexity of the emerging crime trends facing police departments across the nation.

Emerging trends in policing. In the United States crime is becoming more complex and there is an expansion of new types of crimes. Medicaid fraud rivals drug-related crime in South Florida (“Medicare Fraud,” 2010). In comparison to 30 years ago, types of crimes have changed dramatically. Crimes such as bioterrorism, cybercrime, identity theft, domestic violence, gang violence, drug offenses, illegal immigration, and human sex trafficking have increased and require police officers to be more sophisticated than the criminals they are trying to arrest. Reports from the Bureau of Justice Statistics reveal that the demographic of offenders has changed over the years and more women and juveniles, for example, are entering the criminal justice system and being charged with serious, violent crimes. According to the U.S. Department of Justice, Office of Juvenile Justice and Delinquency Prevention’s December 2009 Juvenile Justice Bulletin, “In 2008, law enforcement agencies in the United States made an estimated 2.11 million
arrests of persons younger than age 18” (as cited in Puzzanchera, 2009, p. 1). Although the overall arrests of juveniles in 2008 were 3% less than in 2007, violent crimes increased in both 2005 and again in 2006. “Juveniles accounted for 16% of all violent crime arrests and 26% of all property crime arrests in 2008” (Puzzanchera, p. 1). The increase in property, violent, white collar crimes and terrorism both domestic and abroad coupled with limited resources creates additional tension on an already stressed and overstretched police force.

Since September 11, 2001, the world has changed for the United States. Because the United States’ open system of government is vulnerable to acts of terrorism, the Congress established the Department of Homeland Security to protect the nation. In 2002 President George W. Bush signed the Homeland Security Act. The essential mission of Homeland Security was to unite agencies charged with protecting the country. The establishment of Homeland Security created an infrastructure that allowed for the dissemination of critical intelligence and collaborative partnerships among federal, state, and local law enforcement agencies. Homeland Security is responsible for (a) border and transportation security, (b) emergency preparedness and response, (c) chemical, biological, radiological, and nuclear countermeasure, and (d) information analysis and infrastructure protection (Department of Homeland Security, 2008).

In 2010, Secretary of Homeland Security, Janet Napolitano charged the Homeland Security Advisory Council with the task of working with federal, state, and local law enforcement as well as targeted community agencies to develop recommendations on how the U.S. Department of Homeland Security can support efforts to fight violent extremism. The taskforce developed recommendations that examined the following areas:
(a) Best practices—what are law enforcement agencies doing to successfully combat violent crimes? (b) Information sharing—what type of intelligence would be helpful for local authorities to identify and address ideologically motivated violent crimes? (c) Training and other support—what type of training and technical assistance is needed for local authorities to better integrate community-oriented policing activities into their overall efforts to create safer communities? The taskforce highlighted the importance of training in order to improve the capacity of law enforcement personnel to work with diverse religious, ethnic, and radical communities, as well as to understand and identify potential threats to their communities (Homeland Security Advisory Council, 2010)

The work of the Homeland Security Advisory Council is just one example of how law enforcement agencies are dealing with crime in a new environment today. Law enforcement agencies are also examining more effective ways of developing their human resource capital, such as leadership development, in order to meet the growing demand for more innovative policing strategies. The literature suggests that leadership development is critical for all levels of police organizations (Isenberg, 2010). This study, however, will pay specific attention to leadership development of sergeants, the first-line supervisors in police departments.

**Training and development for law enforcement.** The skill set required for modern society’s police personnel has grown beyond the technical capacity to discharge police duties. It now includes conceptual and leadership skills to manage law enforcement in an ever complex environment. The increase in crime, the corrosive effects of poverty, and the changing nature of policing to include problem-oriented policing and community policing have dictated that the new officer be capable of using good judgment
and discretion as well as developing a budget and using sophisticated logistics and data mining techniques. Johnson (2008) writes of sergeants playing a key role in the development of police officers, and Ianni-Reuss (1983) stresses the different roles of police officers subject to their operating environments.

Sergeants, who are the first-line supervisors in most police departments, have a substantive impact on the formal training and the continuing education of front line police officers (Engel & Worden, 2003). They serve as mentors and coaches and are an available resource to police officers who seek counsel regarding policy, procedures, rules, and regulations. Research suggests that sergeants play an important role in the implementation and success of new policing strategies such as problem-oriented policing and community policing (Engel & Worden, 2003).

In spite of this need for change, strategies for developing leadership among public sector organization, specifically law enforcement agencies continue to be dominated by outdated practices born out of the civil-service model. Training, for example, is focused on management versus leadership in order to develop succession planning for how officers are promoted. For the most part, police training focuses on effective arrest, weapons use, increased reporting precision, police officer’s safety, and due process for offenders. Technical training limits the job of policing even as the job responsibilities have expanded. The complex environment, the risk management needs, the litigation exposure, the requirement to be more effective, all these aspects of the job exert pressure on human resources. A review of the program literature for the police supervision course developed by the New York State Office of Public Safety focuses on basic management and supervisory skills (New York State Division of Criminal Justice Services, 2009).
These included, but were not limited to, planning, organizing, and staffing for police personnel. Such skills are critical to the smooth operation of a police department, but insufficient to wrestle with scarce resources, shifting offender populations, and the changing nature of crime.

Government agencies have led the way, therefore, to facilitate management reform by implementing new initiatives aimed at increasing organizational productivity, employee satisfaction, and improving employees’ job performance (Jurkiewicz & Massey, 1997; Selden, Ingraham, & Jacobson, 2001). Research suggests that leaders have a tremendous effect on individuals in organizations and on the performance of those organizations (Hennessey, 1998). Besides technical knowledge and proficient managerial skills, leaders need to develop and possess the competencies to articulate mission and vision and to provide inspirational motivation (Trottier, Van Wart, & Wang, 2008a). Previous research on organizational leadership in the public sector has recognized significant weaknesses, including the need for better articulation of leadership models, in these settings as well as empirical testing of these models (Van Wart, 2003).

Transformational leadership as described by Bass & Riggio (2006) is the ability to engage in idealized influence, intellectual stimulation, individual consideration, and inspirational motivations. Transformational leaders develop a shared vision, a technique that experts in the field consider effective in a fluid environment. Research suggests that transformational leadership positively affects a number of variables conducive to higher productivity and collective efficacy (Kane & Tremble, 2000; Murphy & Drodge, 2004; Singer & Singer, 1990).
This study sought to understand how leadership competencies among first-line supervisors were developed within a civil service personnel system. Although the literature has examined leadership in the public sector in general, this study examined leadership within a law enforcement environment in particular. The literature supports the fact that leadership can be found at all levels of an organization (Baker, 2006; Isenberg, 2010; Kouzes & Posner, 2007). This study provided an in-depth look at the perceptions of first-line supervisors with respect to their leadership practices and their professional/leadership development within the organization. To what extent are first-line supervisors being prepared to meet the emerging demands of 21st-century law enforcement? What challenges do first-line supervisor face when they transition from police officer to sergeant?

The role of police sergeants. The traditional police ranks starting from the top of the organizations are: (a) chief of police, (b) deputy chief, (c) colonel, (d) major, (e) captain, (f) lieutenant, (g) sergeant, (h) detective, (i) officer, and (j) corporal. Police organizations utilize different structures depending on what is needed to fulfill the mission of the organization. The rank of sergeant is one of authority. Sergeants are the first-line supervisors in police departments and are responsible for coordinating and supervising the police officers assigned to them. Sergeants’ responsibilities are both administrative and technical in nature. They include, but are not limited to: (a) assisting in the day-to-day operation of the work shift, (b) directing and performing criminal investigations, (c) booking prisoners, and (d) ensuring that police officers under their command follow all applicable laws and procedures. Sergeants serve as the primary trainers of police officers and are in a position to influence officers’ behaviors (Engel and
Worden, 2003; Johnson, 2005). Wright, Alison, and Crego (2008) suggest that effective police supervisors are instrumental in (a) communicating organizational changes to employees, (b) preventing ethical misconduct, and (c) enhancing public perceptions of police.

Sergeants possess most of the technical skills needed to develop new officers and are also strategically positioned in the organization to implement new and existing policies and procedures. Their roles constantly change and evolve based on the needs of their departments. The size of the police department can determine the role/responsibilities of a police sergeant. The smaller the department, the broader the sergeant’s responsibilities may be; for example, in a smaller department the sergeant might be responsible for budgets, public relations, and policy development in addition to supervision. In a larger police department, however, a sergeant’s duties might be limited to specific, specialized functions. The role of the sergeant may differ depending on the structure and culture of the police department as indicated by Ianni-Reuse (1983), who identifies two very distinct cultures of policing: management cop and street cop.

Management cop culture focuses on administrative policies and management techniques to run the department. The management cop identifies with the political, social, and economic constraints facing the department. The street cop, on the other hand, focuses on day-to-day interaction with the community and enforcing the law. Street cop culture gets the job done, without undue concern for the policies and procedures in place to get the job done. These two cultures have produced two different types of police sergeants, as identified by Van Maanen (1984): (a) station house sergeants who worked in the office before they were promoted and preferred to stay in the office after becoming a sergeant,
as opposed to (b) street sergeants who worked in the field prior to their promotion, preferred to stay there after promotion.

Butterfield, Edwards, and Woodall (2005) examined New Public Management Techniques introduced in the United Kingdom and their impact on police sergeants. This qualitative study utilized focus groups and in-depth interviews based on an opportunity sample of senior level inspectors, sergeants, and constables. The study found that the new public management techniques expanded the job of police sergeants to encompass more managerial responsibilities. Under the new regime, police sergeants were responsible for planning work assignments, managing finances, conducting formal appraisals, and debriefing officers after crime incidents. Sergeants were also responsible for communicating performance measures to constables and ensuring that those performance measures were met. The study found, however, that as sergeants spent more time ensuring that performance goals were met, they spent less time coaching/mentoring the constables and directly engaging the community. Furthermore, as police sergeants assumed more managerial duties they had little time for the traditional task of patrolling the streets and providing on-site support to the constables. Mid-level managers indicated that police sergeants were given little or no training on how to perform these new managerial duties, which often resulted in increased stress and conflict within the department. A sergeant’s ability to provide leadership and support to the constables was limited by the new management technique. Butterfield et al.’s findings are significant because they illustrate how the role of a police sergeant is constantly changing; in this fluid environment it is necessary to train and develop leadership among first-line supervisors.
Problem Statement

As police organizations evolve and greater emphasis is placed on alternative policing methods such as community policing and problem-oriented policing, research suggests that transformational styles of leadership can strengthen supervisors’ influence over officers’ behaviors (Engel & Worden, 2003). Research on organizational change in policing has maintained that first-line supervisors are important to the implementation of new policies. Engel and Worden (2003) found that past failures of particular strategies and structural changes were due in part to lack of support among patrol supervisors. Scholars recognize the important role that first-line supervisors play in law enforcement. Engel and Worden (2003) report that first-line supervisors communicate new expectations to officers and ensure that officers meet those expectations on the street. They also facilitate implementation, provide organizational support and exhort officers to embrace the philosophy of new policies such as community policing. Overall, however, the literature on police supervision is limited in scope. It fails to address conceptual and empirical questions regarding first-line supervisors.

Theoretical Rationale

Two perspectives are used to approach the essential research questions and are rooted in human resource development and transformational leadership. These two approaches allowed the researcher to marry two major areas of interest and ones highlighted in the literature as being deficient in police work.

**Human resource development.** Human resource development (HRD) as defined by Swanson and Holton (2009) as
a process of developing and unleashing expertise for the purpose of improving organizational system, work process, team, and individual performance. HRD efforts in organizations often take place under additional banners of training and development, organizational learning, career management, and leadership development. (p. 4)

Furthermore, HRD and its two primary components: training and development and organizational development seek to engage the work environment through five distinct phases: analysis, proposal, creation, implementation, and assessment. These phases also exist for the two main components of HRD with slight variations. This model helped the researcher in answering the question regarding leadership development, specifically how sergeants confronted challenges while transitioning to a supervisory position. Swanson and Holton (2009) proposed modified phases similar to the one presented for HRD. This study focused on the first phase of HRD by attempting to assess the leadership competencies of police sergeants and evaluate how the police department developed the leadership competencies of their first-line supervisors. It is worth noting that HRD practitioners lament the lack of attention paid to the analysis phase. By concentrating on it, the researcher addressed a key weakness within the practice of HRD. From the beginning of time, HRD has been a necessary tool to ensure that the skills needed to survive are passed on to the next generation. Today the need for HRD, particularly in law enforcement organizations, is evident based on the complexity of the work environment and the diversity of the workforce.

Transformational leadership. It is clear that throughout human history that leadership, formal and informal, has been the glue that allows for the survival of the
species as well as the development of modern society. By virtue of the socialization process, which tends to be long for human beings, leadership is engraved into our being early and for an extended period of time. Our first contact with leadership is through our experiences with our parents, and subsequently, friends, and teachers. The study of leadership is complicated by the fact that there is no agreed-upon definition of leadership. It is compounded by the many definitions of leadership and the fact that they vary significantly from one theorist to the next. The field of leadership continues to grow from its early incarnations, found in the *Instruction of Ptahhotep* (fl. 2300 B.C.E.), to the concept of transformational leadership first proposed by Downton (1973) and expanded by Burns (1978), and Bass (1985), who proposed that both transformational and transactional leadership were interrelated.

Bass’s full-range leadership model is divided into four transformational elements: three transactional elements and one laissez faire. The four transformational elements are idealized influence, inspirational motivation, intellectual stimulation, and individualized consideration. Idealized influence relies on the ability to communicate in a charismatic fashion the organization’s vision. The leader is driven by his ethical compass and places the overall good of the organization over his own interest. The leader provides a safe environment for the followers to perform in and demonstrate alignment in actions and thoughts. Inspirational motivation connects the leader to the follower by ensuring that interest is maintained. The leader communicates a high level of enthusiasm and articulates a vision that followers can rally around. Intellectual stimulation is ensuring that staff members are fully engaged in problem solving, framing, reframing, and innovating. Individualized consideration is the process of paying due attention to one’s
follower, where their personal well-being matters as much as their professional well-being. The leader serves as a coach and allows for followers to engage in developmental tasks aligned with the followers’ dreams. The three transactional elements are contingent reward, management by exception active, and management by exception passive. Contingent reward is the exchange process between leader and follower where the delivery of service is rewarded through predetermined reinforcers. Management by exception active is the process in which the leader actively monitors performance to identify errors and provide correction and immediate feedback. Management by exception passive occurs when errors come to the attention of the leader who in turns uses it as a mean of providing oversight and guidance. Finally, the laissez faire approach is non-directive oversight where the leader leaves it up to the follower to self-manage and provides no supervision.

Bass developed an instrument widely used to measure one’s leadership style. The instrument is called the Multifactor Leadership Questionnaire (MLQ) and is deemed valid and reliable. There are a number of tools to measure leadership which include but not limited to the MLQ, The Leadership Practices Inventory (LPI), the Managerial Practices Survey (MPS), the Leader Behavior Questionnaire (LBQ) and the Transformational Leadership Inventory (TLI).

**Statement of Purpose**

The purpose of this case study was to examine the leadership behaviors of first line supervisors and the extent to which they practice the tenants of transformational leadership in addition to gaining a better understanding of leadership development practice in this particular police department.
**Research Questions**

This study examined a specific leadership framework known as the full range leadership model, which consists of transformational, transactional, and laissez-faire leadership styles. The researcher investigated the leadership styles of sergeants in a police department, as well as sergeants’ perceptions of the extent to which they practice the tenets of transformational leadership. The following research questions guided the inquiry:

1. What are the self-reported and observed leadership styles and practices of police sergeants at the Echo Bay police department?

2. To what extent do police sergeants practice the tenants of transformational leadership?

3. How do police departments develop the leadership competencies of their police sergeants?

4. What are the perceived challenges faced by police sergeants as they transition from police officer to first line supervisor?

**Significance of the Study**

Serious concerns over generalized liability, public safety, and civil rights violations are examples of risk areas that are evident in the current news cycle and which would accelerate if police sergeant’s leadership needs are not addressed. In light of the budgetary constraints and the difficult financial climate, resources need to be appropriated effectively so as to increase positive outcome. This study with its emphasis on the analysis component of Swanson and Holton’s (2009) five-phase model would allow this department to appropriate scarce resources in the right area, based on an
evaluation as opposed to the feeling and thoughts of the higher command of the police department. A more targeted approach to HRD is often better than a diffuse one. Trottier, Van Wart, and Wang (2008b) call for follow-up studies to investigate longitudinal trends, broad-scale examination of the nature and effects of leadership in state and local governments, and studies that focus on some of the major situational aspects of leadership (hierarchy, organizational type, degree of organizational stress, gender, culture) in public settings. Improving government performance and accountability to citizens by empowering employees, that is, by reducing rules, increasing discretion, and rewarding innovation requires leadership (Sanger, 2008). Researchers have documented the fact that limited empirical research on the relationships between career development, leadership development, and leadership behaviors exists in the field (Engel, 2001; Engel & Worden, 2008, Murphy, 2006; Murphy & Drodge, 2004).

Even with the restrictions of a civil service system, the private sector, and in some cases, the nonprofit sector, has accelerated the use of technology, introduced new operating systems and created positive levels of return on investment in training. Police departments have historically been slow to adapt new technologies and change standard operating procedures. Resistance to change is due in part to the tenure of the work force, which is much less transient than that of the private sector. The benefits of civil service are magnified by tenure, particularly in terms of retirement and pension; however, opportunities for advancement are limited for civil servants.

In the private sector, merit is the driver and primary criterion for promotion. The employee is incentivized through bonus payments and promotion based on the success of specific deliverables. An increased number of arrests and convictions may heighten a
police officer’s standing within the department, yet, performance alone does not increase the probability of promotion to sergeant. According to the New York State Police Standards, this process is preordained and includes an assessment of years of experience and the officer’s score on a standardized test given by the New York State Department of Civil Service.

Managing human resources in a civil service organization has become more pressing because it constitutes an enormous cost to the taxpayers. Keeping costs down while effectively deploying the human assets necessary to ensure the safety of citizenry requires that human resources management be discharged with an eye for effectiveness and efficiency. Yet, within civil service, such a mission remains an ideal that is seldom achieved. As cited above, studies indicate that efficiencies result when the best practices in leadership development as reported by Bass & Bass (2008) are applied.

This study contributes to the literature by presenting empirical evidence for leadership development in law enforcement. Law enforcement executives recognize the need to develop their human resource capital. Furthermore, research shows that one of the primary responsibilities of police middle managers is to prepare newly appointed sergeants for the transition to a supervisory role (Baker, 2006; Johnson, 2005). Law enforcement executives also understand the important role that first-line supervisors play in implementing their vision; however, few departments have developed leadership training for first-line supervisors. In most police departments, lieutenants and sergeants are the principal leaders of line officers but few receive training to help them carry out such development and supervisory responsibilities (Isenberg, 2010). According to Engel (2001), “the study of patrol supervision might be better captured by some type of
modified ethnographic research design where detailed information about the actual patterns of supervisory practices can be collected” (p. 352). Engel further notes that previous studies have focused on lower ranking officers’ perceptions of their supervisors’ effectiveness, to the exclusion of supervisors’ perceptions of themselves, which may limit the validity of the study.

Leadership studies have focused on leadership practices of high ranking officers in a police department or other paramilitary organizations and on subordinates’ perceptions of their supervisors (Engel, 2001; Murphy & Drodge, 2004; Steinheider & Wuestewald, 2008). Few studies have been conducted to examine the leadership competencies and behaviors of first-line supervisors in a police department.

**Definitions of Terms**

*360 Feedback*—a survey and/or interview process designed to obtain feedback from those who work and interact with an individual on a regular basis. Typically, feedback is obtained from the individual’s managers, peers, direct reports, and internal or external customers (Gay and Sims, 2006).

*Community Policing*—A philosophy that promotes organizational strategies, which support the systematic use of partnerships and problem-solving techniques, to proactively address the immediate conditions that give rise to public safety issues such as crime, social disorder, and fear of crime. Community policing is comprised of four key components: (a) Community partnerships which involves collaborative partnerships between the law enforcement agency and the individuals and organizations they serve to develop solutions to problems and increase trust in police, (b) organizational transformation which is the alignment of organizational management, structure,
personnel, and information systems to support community partnerships and proactive problem solving, (c) agency management which includes personnel, technology and geographic assignment of officers, and (d) problem solving which is the process of engaging in the proactive and systematic examination of identified problems to develop and rigorously evaluate effective responses (U.S. Department of Justice, n.d.).

Exempt Class—The exempt class is defined in the Civil Service Law to specifically include one secretary of each department, temporary state commission or other State officer authorized by law to appoint a secretary, deputies of principal executive officers authorized by law to act generally for and in place of their principals, and certain court clerks (New York State Department of Civil Service, §41/CSR §2.1).

New York State Department of Civil Service—is the central personnel agency for New York State. In addition to other duties, the department partners with state agencies and the New York State Personnel Council to offer personnel recruitment and placement services, including developing minimum job qualifications, classifying positions, salary level determinations, developing examinations and administering performance assessment tests (New York State Department of Civil Service, 2006).

Non Competitive Class—consists of those positions for which it is not practicable to conduct examinations on a competitive basis. Appointments non-competitive positions are to be made after a non-competitive examination, such as a review of training and experience, as prescribed by the department of civil service (New York State Department of Civil Service, 2011).

Problem Oriented Policing—An approach to policing in which discrete pieces of police business are subject to microscopic examination (drawing on the especially honed
skills of crime analysts and the accumulated experience of operating field personnel) in hopes that what is freshly learned about each problem will lead to discovering a new and more effective strategy for dealing with it. Problem-oriented policing carries a commitment to implementing the new strategy, rigorously evaluating its effectiveness, and, subsequently, reporting the results in ways that will benefit other police agencies and that will ultimately contribute to building a body of knowledge that supports the further professionalization of the police (Center for Problem Oriented Policing, 2011).

Succession Management—succession management includes succession planning as well as all continuous actions and processes throughout the year regarding the development of successors. Successions management also involves looking ahead at the leadership competencies and positions that will be needed for the organization’s future success, rather than only looking at replacement needs (Gay and Sims, 2006).

Chapter Summary

The challenges of 21st century are taking many forms as population growth, concentration of communities, increased in conflicts, downturn in economic activity as well as the changing nature of crime and perpetrators. As noted earlier, the criminal element has gotten younger, is including women, and the types of crimes vary greatly from years past. No longer is the bank robber using a mask and entering a bank brandishing a gun. A computer-savvy opportunist is now stealing peoples’ identities and depleting their accounts. Banks’ well-protected data systems are being compromised by people situated physically far away, the rise in white-collar crime is at an all-time high. This shift requires that policing be effected differently, starting with the academy where the .38 revolver is no longer and the 9mm reigns supreme, where police chases are aided
with technology, computer mapping of crime is standard. In most cities weapons screening technology is catching the most elusive criminal or would be terrorist, and video technology has an eye on entire cities such as London and New York. Yet, the need for a police officer to have leadership skills such as judgment, discretion, intelligence and to have skills beyond the technical ability to shoot a gun and use a weapon screening device has become more pressing in this post-9/11 environment. In light of the economic downturn, it is expected that crime will rise and that budgetary constraints will force police department to engage in workforce reduction. From an HRD perspective it is clear that Swanson and Holton (2009) and Bass (2008) provide a solid framework that would allow a sensible approach to answering the key essential questions. Answering the HRD and LD questions through these lenses make conceptual and practical sense. Policing require that police organizations become more proactive than reactive. Therefore, the ability of police organizations to adapt to new technologies, programs and strategies is critical. The literature suggests that successful police departments recognize that leadership exists at all levels of the organization and that the organization has a responsibility for developing the leadership competencies of their officers. The next section will examine the literature on leadership development as it relates to public sector organizations (macro-level) to police departments (micro-level). The remaining chapters present the review of literature, with attention to HRD, leadership development, and transformational leadership in the context of policing (Chapter 2); the research design methodology (Chapter 3); the results of the research questions (Chapter 4); and a discussion of implications, delimitations, recommendations, and conclusions (Chapter 5).
Chapter 2: Review of the Literature

Introduction and Purpose

This study sought to understand how leadership competencies among first-line supervisors are developed within a civil service personnel system. Although the literature has examined leadership in the public sector in general, this study examined leadership within a law enforcement environment in particular. The literature supports the fact that leadership can be found at all levels of an organization (Baker, 2006; Isenberg, 2010; Kouzes & Posner, 2007). This study provides an in-depth look at the perceptions of first-line supervisors with respect to their leadership practices and their professional/leadership development within the organization. To what extent are first-line supervisors being prepared to meet the emerging demands of 21st-century law enforcement? What challenges do first-line supervisor face when they transitioned from police officer to sergeant?

The literature review examines the concepts of transformational leadership and leadership development as a form of HRD within a public sector organization, specifically, policing. This research examines the self-perception of first-line supervisors regarding their leadership style/behaviors and the extent to which the police sergeants practice the tenets of transformational leadership. To that end the literature review in Chapter 2 is divided into sections that focus on three concepts: human resource development, leadership development, and transformational leadership. In practice, and
in the relation of the concepts, there is much interplay and overlap, which is reflected in
the narrative of the literature review.

**Human Resource Development**

The field of HRD is new, although its practices have been well established. Professional opinion presently divides the field into two parts: (a) organizational development and (b) training and development. Training and development emphasizes individual employees and the extent to which they support the organization’s mission. Training and development, rather than organizational development, then, is the lens through which this researcher evaluated a midsize police department on how it developed the leadership competencies of their first-line supervisors.

**Contemporary thoughts on human resource development.** HRD begins with the idea that one must be trained in order to competently accomplish predetermined goals. Swanson and Holton (2009) trace the development of the concept from Paul Monroe’s (1907) examination of the apprenticeship model to Watkins and Marsik’s (1989) investigations into the processes of long-term learning capacity and adaptability. Currently Swanson and Holton (2009) characterize HRD as a process to improve performance at the individual, team, and organizational level. Experts in the field agree that the importance of the mission, the complexity of the tasks, and the wide range of responsibilities in the context of a police department make it critical to maintain and improve the workforce. The history of HRD dates back to 600 B.C., but as we think about 20th century America, we must note the work of Fredrick Taylor on scientific management, Dale Carnegie’s treatise on influence and marketing, Channing Dooley’s work (considered the catalyst to the professionalization of HRD), Peter Drucker’s
(considered the father of nonprofit management) work, Fredrick Hertzberg’s well-read work on motivation, Douglas McGregor’s dispassionate publication of *The Human Enterprise*, Peter Senge’s *Fifth Discipline*, and Chris Agyris’ *On Organizational Learning*. As a professional field, HRD is in its infancy and borrows heavily on more established areas, such as organization behavior, psychology, and management. In recent years there has been a movement to treat HRD as an independent model with its own theoretical framework. Critical contributors include Becker (work on human capital theory), Nadler (foundation of HRD), Flanagan (critical incident technique), and Swanson (research in leadership) in the HRD profession. Modern HRD has transformed over the past 45 years. Over this period, the term has been redefined and no universal definition can be found although Swanson is the most recent accepted reiteration. The term went from emphasizing increasing knowledge and capacity to organized learning and experience to learning to unleashing expertise. A number of forces from globalization to changing economics and the nature of the workforce have facilitated as well as complicated the development of HRD. The change from an industrial economy to service economy, the advent of technology, the very nature of work in the 21st century both from a competitive and cooperative standpoint, and the entry of women in the workforce have all forced the field to remain flexible while remaining efficient. As a result the field has remained primarily based in the principles of economics, systems, and psychology. Swanson and Holton (2009) highlight core components such as expertise development and performance improvement. Swanson and Holton detail the mechanism through which both expertise and performance improvement occurs by taking a systematic view of key processes and the way they interrelate. It is clear in his writing
that training, education, and expertise development are distinct activities that can all contribute to increased performance. The field of HRD is often thought of as a set of common sense activities to ensure that positions are filled with trained employees. This narrow understanding is the hallmark of a poor organization. Putting HRD to work in the context of problems and solutions is the best strategy to achieve a dynamic, flexible, and responsive organization, especially for a police organization dedicated to emergency response. Solutions that address the main challenges, as opposed to the symptomatic issues, require a nuanced understanding of continuous improvement, not simply common sense. Continuous improvement demands a carefully drafted plan with the commitment of all major stakeholders, clear goals, and a willingness to integrate on-going learning into the process. Swanson (1997) has described the field of HRD as a “theory application deficit disorder.” The practice of HRD is informed by a number of theoretical models and as a discipline it must develop its own models as it matures and takes its rightful place among other professional disciplines.

When practiced correctly, HRD focuses on problem solving. The discipline assumes that there is a gap between the current state and a desirable state of affairs. HRD is the process through which one accomplishes that desirable state.

White and Escobar (2008) suggest that recruitment, selection, and training of the workforce are critically important to create the foundation of a professional and effective police department. Law enforcement agencies are facing new challenges in the twenty-first century such as (a) counter-terrorism, (b) technology, (c) multicultural/diversity training, and (d) community and problem-oriented policing (White & Escobar, 2008). These challenges require that police officers develop leadership competencies as well as
technical skills. Steinheider and Wuestewald (2008) report that the focus in policing has shifted from leadership at the top to leadership at the bottom, where the discretionary activities of front line officers can make a real difference in terms of community engagement, crime prevention, and law enforcement.

**Talent management.** Talent management is a subset of human resource management and is process driven. While not a theory, it is a set of activities that organizations should engage in to ensure that new challenges are met with competent and expert staffers. This trend is commonly observed in sports team with their farm system and organization such as GE, Microsoft and Apple well known for paying attention to talent development. Talent management is an organization’s attempt to manage its human capital beginning with talent assessment, which in a police department is equivalent to the annual performance evaluation. This talent review tends to be cursory. Efforts at development tend to be ineffective as they do not lead to discretionary promotional opportunities. Succession planning is almost nonexistent in police departments because promotion in a civil service system is driven by a test. Perhaps leadership development can counteract the talent mismanagement of a civil service system. Talent management is the process by which organizations develop their workforce for the future. Employee training has a long history of ensuring an organization has a skilled, motivated, and competent workforce (Frank, & Taylor, 2004). Some components of talent management include: (a) identification and screening of potential employees (recruiting for talent), (b) training and developing talent, (c) treating talent fairly, and (d) retaining talent. Another important component of a talent management program is leadership development. Gay and Sims (2006) identify four leadership development actions which are associated with
The action steps are: (a) talent assessment, (b) talent review, (c) succession planning, and (d) identification of high potentials.

**Negative aspects of talent management.** In contrast, critics of talent management programs argue that talent management programs have a negative impact on organizations and create more problems than they solve. Since the idea of talent management is to attract and develop high performing employees, the process to identify these high performing stars may have a negative impact on the organization. Talent management programs have a tendency to (a) place overemphasis on the individual and under emphasis on the teams, (b) glorify outsiders (c) create a self-fulfilling prophecy, and (d) ignore the systemic cultural problems that affect performance (Pfeffer, 2001).

**Leadership Development**

Research shows that managers in the police force play a key role in the adoption of any organizational change effort like the transition to community policing (Kelling & Bratton, 1993). This work placed special emphasis on the need for supervisors and managers to understand the reason for the policy, the importance of first-line supervisors’ buy-in, its effect in overall implementation, and ultimate success. The managers’ organizational roles make them the critical actors in the implementation of new policies and procedures required for the adoption of community policing (Vito, Walsh, & Kunselman, 2005). The successful implementation of policy often relates to the extent to which first-line supervisors participated in the policy development and understood it and were trained in its execution. As change is often resisted by those who are most impacted, first-line supervisors found themselves in a lead position to implement new policies and strategies, however, they are seldom involved in the development of the
policies, Walsh and Kunselman (2005) found that managers within the police department perceived community policing as a threat to their job security which, therefore, added to their resistance to it. In fact, they attributed the obstacles to the implementation of community policing to (a) establishing and maintaining community involvement, (b) lack of definition to what community policing was, (c) organizational structure, (d) specialized units, and (e) failure of leadership.

The Bureau of Justice Assistance (2008), therefore, promotes a culture of leadership in police departments. The bureau points out that creating a culture of leadership is a process of education and training, modeling appropriate behavior by current leaders, mentoring, and coaching.

According to the Bureau of Justice Assistance (2008), training law enforcement officers is a serious responsibility that continues throughout an officer’s career. Developing leadership skills is at the foundation of nurturing a quality law enforcement officer and a quality agency. As reported by Murphy and Drodge (2004) training for transformational leadership is beneficial. This type of training yields: (a) improved perceptions of transformational leadership qualities among subordinates, (b) enhanced commitment to the organization and (c) increased performance among followers due to transformational leadership training (Murphy & Drodge, 2004).

Leadership development in the public sector. Leadership development in the public sector has been difficult as the emphasis has often been the technical skills to get the job done. Government leaders are usually tapped from the private sector and nonprofit, particularly academia. This creates gaps in service delivery because institutional knowledge from the rank and file is lost as civil service employees retire and
move to other jobs. Many positions are filled with political appointees whose direct knowledge and experience are not easily transferable to the public sector. For the most part, leadership development in the public sector occurs at the higher level, where top people self-select to attend conferences and opportunities for tuition reimbursement are anemic at best. Emphasis on expertise and efficiency have not always been government’s forte. There are few exceptions; both the Internal Revenue Service at the federal level and the Department of Motor Vehicles at the state level are two very good examples of government efficiency through the use of technology. On the other hand, the United Postal Service continues to lose market share, prompting the recent announcement of massive layoffs of postal workers. Without leadership development of public sector organizations, there is a risk associated with providing services for which there is no economic value in an effective manner. While we have seen the outsourcing of our correction systems, the privatization of our mental health operations, and the subcontracting of our defense work, this is not the answer. Bass’ work is a standard bearer both in leadership development and transformational leadership. His consultation and research across government, for profit and nonprofit organizations, indicates not only the need for leadership development, but the criticality of such if organizations are to not only survive but strive to excel. His research revealed the degree to which the workplace can be transformed with leadership that inspires and stimulates ideas and influence. The study of leadership in the public sector is becoming increasingly important as governments are facing demands from their citizenry that dictate responsiveness and the need to adapt to change. The President’s Management Agenda (Executive Office of the President, Office of Management and Budget, 2002) under President George W. Bush
underlined the recommendation that government agencies “build, sustain and effectively deploy the skilled, knowledgeable, diverse, and high-performing work force needed to meet the current and emerging needs of government and its citizens” (p. 14). This is particularly true of police departments as they confront a number of 21st-century challenges: increased crime rates, succession planning pressures, risk management demands, economic concerns, complex technology, the development of positive community relations, litigation prevention, and the problem of retention in the context of a restricted, unionized civil service system. One way of addressing this issue is through talent management, which is the process of developing leaders that are capable of taking appropriate preventive and proactive actions in highly stressful and volatile situations.

**Leadership development in general.** This section of the literature review discusses the topic of leadership development in general and in the context of policing. It will also highlight current practices as well as barriers to leadership development.

The extant literature on leadership development has focused predominately on research in the private sector; however, the lessons learned are applicable to the public/law enforcement sector as well. There are different approaches and components to leadership development. In Bass & Bass’ *Handbook on Leadership* (2008) the best practices in leadership development are identified. According to Bass & Bass:

The best practices in developing leaders take place when (1) leadership development has been aligned with corporate strategy; (2) leadership development has mixed educational and business interests; (3) the particular competencies and characteristics of successful leaders in their own organization have been defined; (4) development of leaders is emphasized, rather than
recruitment from outside; (5) action learning and real-time business issues are the basis of leadership development; (6) leadership development is linked to succession planning; (7) leadership development is supported by top management throughout the success of the effort and (8) evaluations of the leadership development effort, from quantitative to anecdotal. (p. 1051)

Bass & Riggio (2006) further explain the difference between leader development and leadership development: “Leader development focuses on the enhancement of the individual leader, whereas leadership development looks at how the leaders and followers—the group or organization as a whole—can develop shared capacity” (p. 142). Core leadership competencies such as the following can be learned: (a) critical evaluation and problem detection, (b) envisioning, (c) communication skills for conveying a vision, (d) impression management, and (e) how and when to empower followers (Bass & Riggio, 2006).

Van Wart (2003) posits that leaders depend on followers to do the work, therefore the continued development of followers and their overall satisfaction are critical to production and organizational effectiveness. A major stumbling block for most leaders is that they lack the critical skills for dealing with difficult people and/or lack interpersonal competencies (Van Wart, 2003). The next section examines research that focused on leadership development in public and private sector organizations.

Brundrett, Rhodes, and Gkolia (2006) conducted a study that examined the barriers and strengths associated with the practice of talent management, succession planning, and leadership development in education. The qualitative study used questionnaires, focus groups and semi-structured interviews. Out of a sample of 70
schools 9 participated in the study. The findings revealed that respondents engaged in staff development that helped establish supportive relationships that assisted in their own professional development. Respondents also reported a strong commitment to structures that encouraged or required staff to take on an active leadership role. Further, respondents indicated that the leadership development program developed the organizational culture by including work-shadowing as well as pairing workers with critical friends or peer coaching.

Espedal (2004) conducted a study that examined the efficacy of management leadership development (MLD). This qualitative study sought to identify gaps between theory and practice. The study highlights the value of MLD on the individual level which develops the skills connected to formal managerial roles. It also focuses on individuals’ knowledge, skills, and abilities such as self-awareness, self-regulation, self-motivation, social awareness, and social skills. At the organizational level MLD can help institutions develop teams and facilitate networking opportunities among workers. The respondents reported that MLD expanded their capacity to engage effectively into management and leadership roles and processes. Respondents reported that MLD programs helped to build mentor relationship among leaders that enhanced trust, communication, collaboration, integration of ideas, resource exchange, and commitment.

The respondents of the study offered the following criticism of leadership development program. First, MLD programs are not consistent with business strategy. Organizations fail to link MLD initiative across organizational level. The leadership qualities that are the focus of leadership development programs are very hard to link directly with organizational outcome. Respondents also reported that organizations have
a tendency to focus their management and leadership development interventions on historical issues, failing to acknowledge internal and external demands. As a result, organizations also fail to revised practices to address changes and new challenges. Finally, it was reported that MLD interventions have the potential to lock managers into inflexible patterns of actions which prevent the combination of old and new ideas to emerge and shape future practice.

**Leadership development in police organizations.** The discourse on how to develop a dynamic and professional police workforce through leadership development dates back to the 1930s in America. August Vollmer, known as the father of modern policing, was the first police chief to require that police officers attain a college degree. He was instrumental in establishing the first criminal justice program at the University of California. He also created the first motorized police force in order to patrol a larger geographical area. In 1939 Vollmer described the characteristics of an ideal police officer:

The citizen expects police officers to have the wisdom of Solomon, the courage of David, the strength of Samson, the patience of Job, the leadership of Moses, the kindness of the Good Samaritan, the strategic training of Alexander, the faith of Daniel, the diplomacy of Lincoln, the tolerance of the Carpenter of Nazareth, and finally, and intimate knowledge of every branch of the natural, biological, and social sciences. If he had all these, he might be a good policeman! (as cited in Bain, 1939, p. 454)

Bass’s full range leadership model captures the characteristics of Vollmer’s ideal policeman. Bass submits that the transformational leader must be able to master any
human interaction. In fact, he believes being a good transactional leader is a prerequisite for being a transformational leader. Vollmer’s description of the ideal police officer speaks to abilities and capacities that are similar to those of a transformational leader. The literature of transformational leadership gives varying degrees of emphasis on different competencies (Bass & Avolio, 1990; Kouzes & Posner, 2007; Northouse, 2007); however, Vollmer’s descriptions appear neatly paired with Bass’ competencies: (a) Vollmer’s wisdom of Solomon and strategic training of Alexander are similar to Bass’ intellectual stimulation, whereby the leader encourages and supports followers to develop innovative and creative ways to problem solve; (b) The strength of Samson can be linked to management by exception, whereby the leader provides corrective criticism, negative feedback, and reinforcement; (c) The leadership of Moses, courage of David, and faith of Daniel are parallel to inspirational motivation, whereby the leader uses symbols and emotional appeal to motivate followers to accomplish more than they could as individuals; (d) The kindness of the Good Samaritan and patience of Job are similar to individualized consideration, whereby the leader acts as a coach and helps followers to become fully actualized and/or empowered; and (e) The diplomacy of Lincoln is equivalent to employing the contingent reward, which focuses on the exchange between leader and follower. This researcher holds that organizations that practice the tenets of talent management with an emphasis on leadership development can produce the desired characteristics of the ideal policeman as described by Vollmer and Bass.

Murphy (2006) conducted a study that investigated the perceived efficacy of an executive development program and found that the perspectives of the police officer were negative. Murphy’s research evaluated one police department’s succession planning
process and their executive development program with a qualitative study. The study examined the motivation of executive officers who participated in the program as well as their perceptions of the program. Murphy used surveys and interviews as the data collection tools. The surveys ($N = 719$) yielded a 73% response rate and 26% of the sample provided the researcher with additional qualitative information about their major concerns regarding executive development. The study findings revealed that police officers lacked confidence in the selection criteria and had concerns that the best officers were not being chosen for the program. Another major concern was that the standardized test was the only method used to evaluate an applicant’s potential for the program. The program lacked an emphasis on professional development: Training participants did not receive coaching, mentoring, training, or meaningful feedback.

The emerging literature on police leadership provides anecdotal information or descriptive profiles of executive-level law enforcement personnel based on their leadership characteristics (Haberfeld, 2006; Schafer, 2009). Police officers are trained in technical skills, special tactics, and various other subject areas; however, leadership courses appear to be reserved for executive leaders: such as captains, chiefs, and majors.

Police departments are governed by the civil service personnel system which was created to promote fairness in hiring practices and to protect employees from political influences. This type of organizational structure, however, is often considered a major barrier to leadership development due to the processes used to select future leaders. Police officers must pass a series of promotional exams to reach the upper echelon of the organization. The first exam for an entry-level supervisory position is the sergeant’s exam. Eligibility for promotion to police sergeant in New York State is restricted to 1st
Grade Police Officers, that is, police officers who have a minimum of four years of continuous permanent service on a police force and a passing grade on the sergeant’s exam. The promotional exam, which is developed by the New York State Department of Civil Service, focuses on fourteen subject areas: (a) law enforcement methods and practices, (b) New York State Law, (c) preparing written material in a police setting, (d) understanding and interpreting written material, (e) evaluating information and evidence, (f) investigative techniques and criminalistics, (g) supervision, (h) assigning and reviewing work, (i) evaluating performance, (j) maintaining work standards, (k) motivating and developing subordinates, (l) implementing procedural changes, (m) increasing efficiency and (n) dealing with problems of absenteeism, morale, and discipline. There have been other studies that examined the importance of leadership development in policing.

Schafer (2009) suggests that “the absence of quality leaders in policing is, in part, due to a common failure to develop officers to become more effective leaders” (p. 241). Schafer’s qualitative study examined police supervisors’ perceptions of leadership development opportunities within the police department as well as barriers to those opportunities. The study surveyed 1,097 officers attending a 10-week training course at the FBI National Academy. A 70% return rate resulted in the following findings:

1. Most officers believed that leadership competencies could be taught and police officers could be leaders regardless of their rank and position in the organization.

2. Leadership development activities needed to include education, training, and on-the-job learning experience.
3. Most police executives failed to create a supportive environment that cultivated leadership development.

4. Supervisors stressed the importance of timely leadership training, because the standard training for supervisors was inadequate. Participants reported that police leaders should provide all officers with leadership education and experiences so that officers would have a stronger skill set to guide them up the career ladder. Also noted in the study were gaps in training. Police supervisors were in their positions for years before they received leadership development training. Bad behaviors were already ingrained. Lastly, budgetary constraints were identified as barriers to implement and maintain leadership development programs in police departments.

The research conducted by Schafer (2009) is significant for the present study because it identifies various structural, cultural, and external barriers that limit effective leadership practices and leadership development in police departments. According to Baker (2008), police training is one of the most effective of management’s functions. The literature suggests that leadership development strengthens an organization’s human resources capacity and is essential in the enhancement of employee performance, improved morale, and increased motivation. Training is also crucial to supporting the mission of the organization. Some police departments have made attempts to develop leaders by implementing specialized programs and/or training.

Parry and Sinha (2005) conducted a study that examined the impact of transformational leadership on organizational performance and leadership behaviors. This study utilized a quasi-experimental approach to test the impact of leadership training
upon seven groups consisting of private and public sector employees. There were 50 participants and 500 raters. Participants attended a two-day Full Range Leadership Development training program and then were given a 360 Feedback to evaluate if there was a change in transformational leadership behaviors. The MLQ was used to assess the frequency with which participants displayed transformational and transactional leadership behaviors. The findings of the study indicated that: (a) After conducting a Wilcoxon matched pair signed rank test on both the pretest and posttest, all transformational leadership factors were displayed more frequently after the training. (b) Transformational leadership training was effective for public and private sector organizations. (c) Outcomes of followers’ extra effort and satisfaction with leaders increased after the leader participated in the training program. As highlighted by the studies above, leadership development programs that focus on enhancing leadership competencies can improve employees’ skill sets and strengthen the organization’s human resource capital. However, there still remain barriers to leadership development in police organizations.

Barriers to leadership development in police organizations: A failure of human resource development. Saunders (1970) maintains that “historically, law enforcement training is grossly inadequate, and the level of training fragmented, sporadic and poorly designed to meet the law enforcement needs of a modern urban society” (p. 3). Research further suggests that the root of the problem in law enforcement is one of personnel (Phillips & Burrell, 2009). Funding for training is usually limited to new technology, specialized personnel or departments. Training rarely focuses on the entire police department or on professional development of the department.
There is an absolute dearth in the area of leadership training and leadership theories that are applicable to police environments (Haberfeld, 2006). Haberfeld posited that leadership development should begin when new recruits enter the police force as part of the Police Academy training curriculum and as part of on-going professional development training. The training in the Academy, however, does not allocate a sufficient period of time for the study of leadership. In New York State, for example, some of the topics covered during basic police officer training are as follows: (a) Administration of Justice, (b) Introduction of Law Enforcement, (c) Law of New York State, (d) Law Enforcement Skills, (e) Community Interaction, (f) Mass Casualties and Major Events, and (g) Investigations (New York State Division of Criminal Justice Services, 2009).

Upon completing the Basic Police Officers Training, a probationary recruit spends approximately 10 weeks with a field training officer. The field training officer is responsible for training the recruit in the field and grading them on core competencies. A review of New York State’s field training manual reveals that under the section for interpersonal skills, the field training officer has to grade the new recruit on leadership competencies; however, the term leadership is not defined or even discussed in the manual. How are field training officers measuring new recruits’ leadership competencies? How can police officers be expected to be leaders if they are not taught how to be leaders?

**Transformational Leadership in Policing.**

Research confirms that effective leadership is essential to organizational success (Avolio, 1999; Baker, 2006; Haberfeld, 2006; Kouzes & Posner, 2007; Northouse, 2007).
Furthermore, leadership differs from management in that it requires a more sophisticated level of skill that focuses on influencing others and creating visions for organizational change and/or effectiveness. The distinction between leadership and management has been described by Bennis and Nanus (1985) as follows: “Managers are people who do things right and leaders are people who do the right thing” (p. 221).

Research also indicates that police departments and other paramilitary organizations led by transformational leaders experience increased productivity, employee satisfaction, and greater leader satisfaction (Murphy & Drodge, 2004; Steinheider & Wuestewald, 2008; Yammarino & Bass, 1990). The full range leadership model is a well-known and reliable evaluation of best practices in leadership development. The three categorizations of full range leadership model are transformational, transactional, and laissez-faire leadership styles (Bass & Riggio, 2006).

Transformational leadership motivates the followers to perform for reasons beyond immediate self-interests through idealized influence, charisma, inspiration, intellectual stimulation, and/or individualized consideration. Idealized influence and inspirational leadership are displayed when the leader envisions a desirable future, articulates how it can be reached, sets an example to be followed, sets high standards of performance, and shows determination and confidence in executing that vision. Individualized consideration is displayed when the leader pays careful attention to the development of the followers. Transformational leaders delegate assignments to followers as opportunities for growth (Bass, 1999).

Transactional leaders propose an exchange between leaders and followers to meet their (the followers’) self-interests. This exchange may take the form of contingent
reward in which the leader clarifies through direction or participation what followers need to do to be rewarded for their effort. It may take the form of active management-by-exception, in which the leader monitors the followers’ performances and takes corrective action if the followers fail to meet standards. It may take the form of passive leadership, in which the leader practices passive management-by-exception and waits for problems to arise before taking corrective action); or it may take the form of laissez-faire, in which the leader avoids taking any action (Bass, 1999). In law enforcement, management-by-exception is management by fear which some suggest needs to change. The concept of management-by-exception is illustrated by the exchange process between the supervisor and subordinate based on desired behaviors. Supervisors, for example, may use incentives such as work schedules, overtime, or special details as means to control behaviors (Johnson, 2008). Management by fear in law enforcement environments results in short-term goals, no long-term planning, and an atmosphere of fear that destroys initiative, demolishes teamwork and nourishes rivalry (Alsabrook, Aryani, & Garrett, 2001).

A few studies have examined transformational leadership within the context of a law enforcement environment or the military. These studies have positively correlated transformational leadership practices with (a) employee satisfaction, (b) increased employee morale, (c) increased organizational effectiveness, (d) extra effort, and (e) followers’ satisfaction with the leader. Singer & Singer (2001) hypothesized that police departments—traditionally considered mechanical organizations—would exhibit transactional leadership; however, their study revealed that the police leadership was more transformational than transactional. The situational constraint of the police
environment had an insignificant impact on this study. The significance of Singer and Singer’s study is that transformational leadership does exist in policing.

Deluga and Souza (1991) conducted a quantitative study to examine the relationship between supervising officer leadership (downward influence) and the influencing behavior of subordinate police officers (upward influence). The researchers used both transformational and transactional leadership as their theoretical framework. They hypothesized that transactional leadership would be more closely associated with police officers’ influencing approaches. Researchers collected data through surveys distributed to 117 police officers with voluntary responses from 53, a 45% response rate. The study found that subordinates perceived transformational leaders as more approachable and less military in manner than transactional leaders. The transformational style of leadership best models the skill set necessary for effective problem-oriented policing and community policing.

**Limitations of human resource development and transactional leadership.**

HRD is difficult to evaluate as it over relies on a number of other fields. HR professionals are concerned with the lack of analysis which results in faulty decision making as well as the need for HRD to be recognized on its own theoretical merit. While the literature shows evidence that well executed HRD processes are a cost saver and in fact allows organization to attract the best and become more efficient, HR is relegated to a second class status after finance and operations. This is exemplified by the pattern of promotional activities which usually elevate the chief operating officer and the chief Fiscal officer to the Chief Executive officer. Transactional leadership offers little encouragement for followers to exceed and achieve performance goals beyond those for
which they contracted (Bass, 1985; Bass & Avolio, 1990). Critics of the full range leadership model, which includes the transactional leadership style, suggest that further research is needed to examine other independent variables, such as gender, organizational culture, and diversity. Northouse (2007) highlights the criticism of transformational leadership: (a) transformational leadership lacks conceptual clarity because each characteristic (the “Four I”, idealized influence, inspirational motivation, intellectual stimulation and individualized consideration) overlaps with each other. (b) research on transformational leadership stresses the fact that it is the leader that move followers to achieve great things, however, critics argue that more focus should be placed on shared leadership and the reciprocal relationship between leaders and followers. There have been call for further research on how transformational leaders affect followers psychologically and how leaders respond to follower’s reactions.

**Conclusion**

HRD, which includes leadership development, is essential for good governance and allows for smooth succession because line staff are prepared for increased responsibility through a planned process. The costs associated with hiring the wrong personnel, lack of training and opportunities and the benefits of having expected behaviors modeled and staff to be coached are immeasurable. In addition, transformational leadership is an important tool to address complex issues and as indicated the landscape for law enforcement has grown more nuanced and textured. Policing is becoming more technical and more intellectual relying on long term view and having to respond to society’s growing types of crime. Emphasis on prevention requires a transformation in thinking and delivery. The old methods are becoming passé. The new
forensic and technological methods need to be managed, crime forecasting using complex algorithms need to be digested and reasoned judgment forced upon them to keep the citizenry safe. Developing transformational leaders is no longer a luxury but a necessity that would become more pronounced. Delivering leadership development will increasingly need to be done effectively and Bass’ (1999) work is a model that has shown promise. In short, confronting the challenges of the 21st century will require police departments to engage in effective HRD, specifically leadership development. A well planned HRD effort that focuses on leadership development has the potential to increase positive work outcomes and ensure that an organization continues to strive. This is particularly true for police organizations where the workforce while stable tends to burnout and access available early retirement incentives. Having a pipeline of officers ready to continue the fight at a higher level makes sense so as to avoid the syndrome of the “overnight supervisor” which Haberfeld (2006) speaks of. Leadership development is a guard against that unintended effect. Transformational leadership is often cited as a form of leadership that facilitates change and its applications result in a more engaged workforce and a culture that promotes ethical behavior, Bass is considered the dean of transformational leadership and his work over six decades until his death in 2008 continue to be recognizing as leading and cutting edge. His classic repository of leadership knowledge published in 2008 (Bass & Bass) is used around the world translated in many languages and his contemporary exult his outstanding contribution to the field of leadership. It is that scholarship and reputation that have this researcher not only committed to his study and prompted the choice of his theory as the lens through which this police department will be evaluated using his take on leadership development
and leadership style. One recognizes that Downton (1973) as the original author of the leadership concept must be given his dues as he processed the concept in the context of political leaders as does Burns (1978); however Bass has supplemented their work and lent his intellect to moving it forward. While others such as Kouzes and Posner (2007) have joined the transformational conversation, such would be incomplete without Bass at the center. Both HRD and transformational leadership have their detractors. The former is said to be nonscientific to be relied on while the other is often criticized for lack of clarity. Chapter 3 described the methodology through which the researcher answered four essential questions and was organized around a general perspective to set the stage, the research context, the types of participants, type of study, the selection process, the instrumentation, and the methods for data analysis.
Chapter 3: Research Design Methodology

General Perspective

Today police organizations are identifying new and innovative ways of facilitating the development and career progress of talented and skilled individuals in the organization. According to the Bureau of Justice Assistance (2008), today’s law enforcement officers must possess the leadership skills, capacity, and courage for effective operation. Law enforcement agencies are formalizing the procedures, policies, and processes necessary to develop employees and leaders for the future of the organization. As police organizations evolve and greater emphasis is placed on alternative policing methods such as community policing and problem-oriented policing, research suggests that transformational styles of leadership can strengthen supervisors’ influence over officers’ behaviors (Engel & Worden, 2003). Research on organizational change in policing has maintained that first-line supervisors are important to the implementation of new policies. Engel and Worden (2003) cite several studies that found that past failures of particular strategies and structural changes were due in part to lack of support among patrol supervisors. Scholars recognize the important role that first-line supervisors play in law enforcement. First-line supervisors communicate new expectations to officers and ensure that officers meet those expectations while on duty. They also facilitate implementation, provide organizational support and exhort officers to embrace the philosophy of new policies such as community policing. Overall, however, the literature on police supervision is limited in scope. It fails to address conceptual and
empirical questions regarding first-line supervisors. This study evaluated the HRD practices of a police department, an organization under increasing pressure to attain a desirable state in a high risk environment. Police departments are a good natural laboratory to study the core adult learning principles set forth by Knowles (2005), the father of adult learning or andragogy. Knowles’ learning principles include the learner’s (a) need to know, (b) self-concept, (c) prior experience, (d) readiness to learn, (e) orientation to learning, and (f) motivation to learn. Using in-depth interviews, the researcher determined if the adult learner, in this case the police sergeant, were engaged in a learning environment that was conducive to the production of a competent leader. Is leadership development a part of the training curriculum? If so, does it follow a best practices model for leadership development? The study assessed the self-perception of police sergeants in terms of the full range leadership model.

This study examined the leadership styles, professional development practices of a police department, and the reflective experiences of police sergeants as they transition from being patrol officers, and the perception of police sergeants of their career development. Specifically, this study sought to answer the following essential questions:

1. What are the self-reported and observed leadership styles and practices of police sergeants at the Echo Bay police department?

2. To what extent do police sergeants practice the tenants of transformational leadership?

3. How do police departments develop the leadership competencies of their police sergeants?
4. What are the sergeants’ perceptions of their transition from patrol officers to first line supervisors?

This research is a case study using a qualitative approach. Ospina (2004) points out how qualitative research on leadership has offered some advantages such as (a) flexibility to follow unexpected ideas as they arise during the course of research, (b) ability to study symbolic dimensions and social meaning and increase opportunities for relevance and interest for practitioners. Research further suggested that new insight on leadership can be attributed to qualitative studies that focus on the circumstances associated with organizational types or occupational settings (Bryman et al, 1996; Engel, 2001). A single case study of a suburban police department was conducted to gain better insight into leadership development in law enforcement and the leadership practices of first-line supervisors. Yin (2009) defined a case study as “an empirical inquiry that investigates a contemporary phenomenon in depth and within its real-life context, especially when the boundaries between phenomenon and context are not clearly evident” (p. 18).

The researcher employed a qualitative approach to answer the essential research questions. Qualitative researchers study their subjects in their natural settings, attempt to make sense of, or to interpret, phenomena in terms of the meanings people bring to them (Maxwell, 2005). The researcher was the main instrument for data collection and data analysis.

**Research Context**

The study took place in a suburban county located in New York State. According to the U.S. Census Bureau (2008), the county contains 45 municipalities and the
estimated population is 953,943. For the purpose of the study, the research site was referred to as the Echo Bay police department in order to maintain confidentiality. In 2008, the city of Echo Bay within the county had a population of 73,376 which is served by one police department. According to the 2009 Police Department Annual Report, the mission of the Echo Bay Police Department is to “provide a professional community-oriented police service to protect life and property and maintain order while assuring fair and equal treatment to all” (p. 3). The Echo Bay Police Department was established in 1885 with a staff of four police officers; a captain, and three policemen. In 1896, the first police chief of the department introduced bicycles, mounted patrols, and horse-drawn wagons to patrol the community. Today the Echo Bay Police Department is a full-service police department with 252 employees of which 188 are sworn police officers (New York State Division of Criminal Justice Services, 2009). The department has three major divisions: Staff Service Division, Police Services Division, and Criminal Investigations Division. Each division consists of various subunits that are responsible for specific areas of operation.

1. The Staff Service Division provides auxiliary services to the department. This division consists of seven units which are the Records Unit, Communication Unit, Training Unit, Alarm Monitoring Unit, Property & Evidence Unit, Information Systems Unit, and Jail/Court Liaison Unit.

2. The Police Service Division is responsible for providing uniform police services throughout the city. The division consists of five units which are the Patrol Unit, PACT (Police and Community Together) Unit, Special Operations Unit, Traffic Unit and the Community Resource Coordinator.
3. The Criminal Investigations Division is responsible for the implementation of crime prevention strategies, detection and arrest of criminals, recovery of lost and stolen property, and location of missing persons. This division has five units which are: General Investigations Unit, Property Theft Unit, Special Investigations Unit, Forensics Unit, and the Warrant Unit (Echo Bay 2009, Annual Report).

The challenges of 21st century policing, as described in Chapter 1, are proactively addressed by the Echo Bay Police Department. According to New York State Division of Criminal Justice Services Crime Index Report for the period of 2006–2010, the Echo Bay Police Department has experienced a 23% decrease in crime over this four-year period.

Since the inception of Echo Bay Police Department, the scope of services have been expanded to meet the challenges of the community and emerging crime trends. The department has expanded its use of technology to include computer mapping of crimes and in spite of scarce resources the department has invested in training and development. These advances represent a stark indication of how the leadership of this department has attempted to meet the challenges of policing in the 21st century. This type of vision is often thought of as pioneering and transforming as the department is not reacting to problems but attempting to prevent them using actionable data as opposed to anecdotal reporting (Echo Bay Annual Report, 2010).

**Research Participants**

Maxwell (2005) described purposeful selection as “a strategy in which particular settings, persons, or activities are selected deliberately in order to provide information that can’t be gotten as well from other choices” (p. 89). The research participants were sergeants who are considered front line supervisors and who play a vital role in the
success of police departments across the country. Preliminary research showed that they are understudied, yet their roles determine in large part the nature of our criminal justice system and the quality of community life. Police sergeants have enormous discretion in performing their function, executing the tactical plan of their lieutenants and strategic orders of their captains. If the lieutenants are the heart and the captains are the brain of police departments, the sergeants are the soul of this institution. This is in line with the old adage that generals win battles, sergeants win wars (Baker, 2008).

This police department is organized in a hierarchical fashion with the frontline or patrol officer being the largest group of employees; they are supervised by the sergeants who are supervised by the lieutenants. The lieutenants are supervised by the captains who reports to the Deputy Commissioner. The Deputy Commissioner reports to the Commissioner. This is fairly typical of medium size police departments. In terms of positionality, the sergeants are the most likely supervisory staff to have contact with the public and as such are considered front-line supervisors. The 2010 Annual Report for Echo Bay Police Department illustrates an organizational structure that consists of the various positions: one police commissioner, one deputy police commissioner, three captains, 10 lieutenant, 15 sergeants, 23 detective, 65 police officers, 10 community service officers, 1 civilian employee, and 3 school crossing guards. For visual demonstration of the reporting relationship, an organizational chart is included (See Appendix A.).

This study focused on the leadership experience at the rank of police sergeants. Police sergeants are the first-line supervisors in policing and are responsible for coordinating the work and providing supervision to the police officers assigned to them.
A review of the department demographics revealed that there were 24 police sergeants in the department. Research participants were not compensated for their participation in the study.

**Establishing relationship based on reflexivity.** Maxwell (2005) states that the relationships researchers create with the study participants are an essential part of the research. Further, “Bosk (1979, p. ix) noted that fieldwork is a ‘body-contact’ sport, and your research relationships create and structure this contact” (Maxwell, 2005, p. 82). Recognizing the fact that the researcher is part of the social world he or she studies is what Hammersley and Atkinson (1995) refer to as “reflexivity.” The researcher recognized that such body contact was particularly important in a field that is often closed to outsiders and determined that full engagement was required in order to get authentic data. The researcher is a criminal justice professional with over 15 years of experience in the field as well as a resident of Echo Bay. As a criminal justice professional who started her career in a large metropolitan district attorney office and who currently works as a criminal justice professor in addition to being employed full-time with the judicial system, the researcher has worked either directly or indirectly with the law enforcement community. Therefore, this combination of insider and outsider status enabled the researcher to approach this study with some understanding of the organizational culture. In addition, the researcher was able to draw upon a network of criminal justice professionals to gain access to key stakeholders and law enforcement experts who were willing to discuss the concept of leadership in policing, served as a panel of experts, and vested in the success of the policing profession.
Criteria for site and participant selection. The qualitative case study used a purposeful sample in choosing the Echo Bay Police Department as the researcher specifically wanted to know how it operated. The Echo Bay Police Department is 1 out of 43 police departments located within a suburban county in New York State. The department is located in the community in which the researcher resides and as a customer/citizen has an overt interest in the right policing, namely, policing for the 21st century. Police departments are notorious for their secrecy and their skepticism of outsiders. It is often referred to in the vernacular as the “blue wall of silence.” Because of that, the internship that the researcher had at Echo Bay was critical in terms of getting to know the officers in such a way to increase her credibility, reduce the officers’ fear that their territory was being invaded, and establish a level of trust that would serve as an additional safeguard against being provided with faulty information.

The criteria for site selection was a police precinct comprised of the following: (a) a mid-size police department (as defined by the researcher) with no more than 300 employees (there were three police departments in the county that met the size requirement), (b) located in a city within a northern suburb of New York City that was close in proximity to the researcher, and (c) certified by the New York State Law Enforcement Accreditation Program and the New York State Municipal Police Training Council. A police department earns accreditation when it meets a total of 64 standards, which are divided into the following three categories: (a) administrative standards (fiscal management and personnel management), (b) training standards (basic and in-service, specialized training or technical assignments), and (c) operational standards (traffic stops,
use of force, and roadblocks; New York State Law Enforcement Accreditation Program, 2009).

Access was possible given major contacts the researcher had with that community. Further, the Echo Bay Police Department had several programs designed to strengthen the relationship between the police department and the community. These programs provided citizens the opportunity to learn about the criminal justice system and police operations at the Echo Bay Police Departments. Therefore, this police department seemed more open to granting the researcher access. While there were other departments that met the type and size requirements, this site had the greatest potential for access and gaining authentic data.

Maxwell (2005) defines gatekeepers as people who can facilitate or interfere with the study and are an essential part of the methods the researcher uses to initiate and negotiate these relationships. The gatekeepers were instrumental in helping the researcher understand the technical and cultural aspect of policing. Upon approval from the police department to conduct the study, the researcher was assigned a gatekeeper who served as a liaison between the researcher, police officers, and the upper ranks of the department. All 24 sergeants in the department were invited to participate in the study. Fourteen police sergeants volunteered to participate in the study. A survey instrument was issued to the entire workforce of sergeants that included an invitation to participate in the in-depth interviews. The process for selecting sergeants to participate in the in-depth interviews was through a self-selective process. This process yielded a total of 9 interviews out of the total 14 who returned the initial survey.
Instruments Used in Data Collection

The goal of this research was to identify the leadership behaviors and practices of first line supervisors in a police department. In order to understand the lived experiences of the research participants, four different techniques were used to collect data: (a) open-ended questions, (b) direct observations, and (c) a quantitative survey instrument. The researcher used in-depth interviews to examine the sergeants’ perceptions of their leadership practices and professional development experience. Direct observations and field notes allowed the researcher to study the participants within their own environment. While this research used qualitative methods to gather data, a quantitative instrument was used to gather general information on the transformation leadership qualities that existed within Echo Bay Police Department. Specifically the use of a the Multifactor Leadership Questionnaire (MLQ) allowed the researcher to evaluate the extent to which the police sergeants saw themselves as transformational, transactional, or laissez faire leaders.

The data collection process took place in three phases. First, the researcher distributed 24 surveys to each of the sergeants in the police department. A packet of information which included a letter to the sergeant that explained the purpose of the study, and the informed consent form were distributed to every sergeant in the police department (see Appendix B). The surveys were administered via e-mail and in hard copy to the police sergeants who executed the informed consent form. To increase the response rate, the researcher sent a follow up e-mail with an attachment to the sergeants who did not respond to the initial invitation to participate in the study. The attachment included the sergeants’ letter and the link to the surveys. The researcher also visited the police department during the different shifts to introduce herself and explain the study to the
sergeants who did not respond to either request for participation. There were 10 sergeants who opted not to participate in the study. This yielded a response rate of 59%.

**Description of instruments.** Detailed descriptions of the three instruments, an open-ended list of questions, participant observations, and the MLQ, follow.

**Open-ended list of questions.** Open-ended questions were used so that the researcher could understand the experience of others and the meaning the department’s police sergeants make of that experience. The researcher took good care to formulate open-ended questions that allowed the respondent to have a conversation about the essential questions without being leading or restricting. This free-flowing exchange promoted not only candor but invited related thoughts that otherwise would not have surfaced. The questions were primarily open-ended in a format that allowed for unadulterated responses (see Appendix C.). The researcher used transformational leadership as the theoretical lens to develop the open-ended questions. The questions were designed to answer each of the essential research questions and were arranged around four major themes: leadership style/behaviors, professional development and transition challenges.

The questionnaire was developed by the researcher with input from a panel of experts so that face and content validity could be established. Maxwell (2005) defines panels as “people who are uniquely able to be informative because they are expert in an area or were privileged witness to an event.” The panel of experts consisted of five former police sergeants who were promoted to other ranks in the department. Collectively, this panel had approximately 100 years of institutional knowledge and policing experience. A general protocol, to conduct the in-depth interviews, was
developed to ensure that rapport was established so that respondents could feel comfortable and that the major questions could be answered by all respondents. This group of former sergeants was instrumental in providing the research with feedback on the interview guide and, specifically, in determining whether or not the questions work as intended and/or if revisions were needed.

The in-depth interviews were the essential vehicle for collecting data. This modality was chosen because it allowed for the sharing of the personal and professional experiences of those being interviewed as well as facilitated the researcher’s capacity to seek clarification and to be educated on the leadership behavior of first-line supervisors. Through this medium, the researcher was as much of a student as she was a professional researcher, channeling the voices of those being studied. This research technique was flexible and designed to respond to the ebb and flow of the process. The in-depth interviews were conducted with 9 out of the 14 police sergeants who completed the surveys and who had indicated on the survey their willingness to participate in the in-depth interview component of the process. By sharing their experiences as first-line supervisors, their leadership practices, and their leadership development opportunities within the department, the researcher was able to understand with some depth the specific occurrence of these processes within the department. Approximately 30 questions related to the study’s four essential questions were asked of the respondents.

For the purpose of triangulation, a focus group was held with police sergeants from another police department. The sergeants were asked to define leadership, discuss the career development opportunities afforded to them, and to discuss their transition from patrol officer to police sergeant. The data collected from the sergeants’ focus group
was transcribed, a preliminary analysis was done, but, due to time constraints, the data was not included in the findings section. However, triangulation was achieved by analyzing the field notes, observations, and interviews.

The data collection process consisted of taped and subsequently transcribed in-depth interviews. Once the sergeants completed the MLQ a subsequent e-mail was sent out to them notifying them about the interviews. The interviews were conducted within a four-week time period. They were held on site at the police department and at a time convenient for the sergeants. The interviews ranged from 45 minutes up to two hours in length.

**Participant observations.** Yin (2009) described participant observation as a special mode of observation in which the researcher is not a passive observer. Instead, the researcher assumes a variety of roles within a case study situation and may actually participate in the event being studied. Through the process of participant observations the researcher collected data while interacting with the police sergeants in their work environment. There were 21 instances when the researcher observed three of the sergeants in their natural setting. Settings included, but were not limited to, police training sessions, roll call, and field operations. The participant observations allowed the researcher the opportunity to observe the sergeants’ leadership style.

**The Multifactor Leadership Questionnaire and Professional Development surveys.** The researcher used the MLQ to determine the overall leadership style at work within this police department among first-line supervisors (See Appendix D.). It was also used as part of the selection protocol for in-depth interviews. Utilizing the MLQ allowed the researcher to globally report on the leadership styles of the first-line supervisors at
Echo Bay Police Department through the lens of the valid and reliable MLQ. The MLQ 5X has been used extensively in research on transformational leadership. It has been validated and documented in various studies (Bass & Riggio, 2006; Avolio, 1999; Bass, 1997). The interest of this researcher dictated the choice of Bass’s instrument because it allows for a clear determination of one’s leadership style from a continuum of transformational, transactional, and laissez faire, a feature missing in the other instruments. This tool was used as a first step for screening and determining the leadership profile of first-line supervisors within an identified police department. This qualitative study answered the call for more experimentation by Brown and Lord (1999) as well as Awamleh and Gardner (1999). The use of interviews and field observations allowed for measuring the extent to which sergeants engage in a particular type of leadership based on their behavioral and their verbal and nonverbal messaging. In order to use the MLQ 5X, the researcher purchased a license from a vendor (See Appendix D.).

A second survey, as an addendum to the MLQ, was used by the researcher to collect demographic data on the respondents, which included: (a) level of education, (b) gender, (c) age, (d) tenure as an officer, and (e) tenure as a supervisor, in addition to information on career development (See Appendix E.). The career development survey was adapted from a research study conducted by Everts (2001).

**Procedures for Data Collection**

**Strategies for analyzing interview data.** Researchers suggested that although there seems to be no universally agreed-upon view of the coding process in qualitative research, many qualitative data analyses begin with the identification of key themes and patterns (Gough & Scott, 2000). Coding is the process by which researchers condense
their data sets into analyzable units by creating categories. Therefore, this researcher reviewed the data for themes and patterns of concepts. Critical terms associated with transformational leadership and leadership development, such as job enlargement, job enrichment, mentoring, coaching, role playing, idealized influence, intellectual stimulation, management by exception, socio-technical system, were included in the code book. Two strategies were used for the coding process. The first strategy matched what was expected as per the code book to the interview content. The second strategy gleaned from the interviews themes and trends worthy of coding. The researcher and a research assistant reviewed both audio and transcribed interviews for codes and themes. Manually, the researcher and research consultant (a) identified broad themes, (b) examined frequency of words for potential themes, and (c) identified relationships. The researcher interviewed all of the officers who self-selected to participate in the in-depth interviews, nine in total. This protected against selection bias, which was considered a threat to external validity.

**Selection bias.** To achieve a higher level of continuity and dependability, the interviews were tape recorded. An independent research assistant was used to identify key responses. This was based on the coding system developed by the researcher as well as those that emerged from the interviews. The researcher also identified emerging themes and cross validated the findings with those of the independent research assistant. The primary source of the work was the professionally transcribed interviews based on the audiotapes.

**Strategies for analyzing participant observation data.** In qualitative research, interpretation by the researcher is expected because the process is inductive and the
researcher’s personal view informs the interpretation. In this case, the researcher was not a police officer, therefore interpretation was from the perspective of a consumer/citizen, a practitioner who comes in regular contact with law enforcement professionals, and an academic interested in improving the quality of policing. The police department under study served a predominantly diverse community and was sensitive to their universal and ethnocentric needs. The scheduled direct observation and working side by side with sergeants on patrol informed this researcher about the thinking and subsequent actions taken by sergeants as they used their discretion and supervised their officers. The opportunity to witness the sergeants’ processes helped in determining the extent to which they were engaged in transformational leadership behaviors.

The researcher used the work of Bass and Kouzes and Posner as a lens to interpret the observations. Bass (2003) speaks of intellectual stimulation, individual consideration, idealized influence, and inspirational motivation while Kouzes and Posner (2007) posit that challenge the process, embrace the heart, enable others to act, inspire a shared vision, and model the way are five exemplary practices of transformational leadership. For example, a sergeant who was observed accommodating a request for a particular schedule from an officer whose grandmother was sick was identified as exercising individual consideration. A sergeant who was observed providing feedback and demonstrating how to complete a task was identified as modeling the way. As I conducted these observations in the sergeants’ natural environment, namely, their patrol car, the sergeants’ desk, and on the streets, I became part of the environment as an engaged observer and debriefed with sergeants to ensure what was observed and interpreted though the researchers’ lens was aligned with that of the sergeants. I also used an observation guide, which included
(a) time/date/location of the observation, (b) names/positions of persons being interviewed/observed, and (c) the specific activities and events under observation. Finally, I used personal journals and memos outlining field experiences such as reflective accounts of lessons to be learned, new ideas, research protocols, etc.

**Strategies for analyzing survey data.** The researcher obtained the raw data and scale scores in a comma separated value (csv) file and used the Statistical Package for Social Science software (SPSS) to analyze the data. The data from the Multifactor Leadership Questionnaire 5X short form (MLQ5X) were classified and interpreted on a continuum of transformational, transactional, and laissez-faire using the MLQ scoring rubric. The surveys were used to examine the sergeants’ leadership style as identified by the MLQ, the sergeants’ perception of the career development opportunities offered to them by their department, and demographic data. The researcher used descriptive statistics such as gender, education, and tenure status to shed light on who the participants were and through cross analyses determine if there were any trends in the responses connected to these identifiers.

In conclusion, the researcher examined the leadership practices of police sergeants at the Echo Bay Police Department. The researcher used the four different techniques of direct observations, in depth interviews, questionnaires, and a survey instrument to obtain data. The data were collected via audio and typed transcriptions, electronic and hard copy filing, and field notes. The data from the in-depth interviews were analyzed using predetermined and emerging themes. The MLQ was used to provide information on the sergeants’ leadership style. An established protocol design by the author of the MLQ was used to analyze the collected data. Finally, the results were
documented in Chapter 4 with the major themes identified and exemplified with quotes from selected participants and the results of the MLQ were used as a leadership backdrop to the study and explained in tabular form and in context.
Chapter 4: Results

Research Questions

As police organizations evolve and greater emphasis is placed on alternative policing methods, such as community policing and problem-oriented policing, research suggests that transformational styles of leadership can strengthen supervisors’ influence over officers’ behaviors (Engel & Worden, 2003). Scholars recognize the important role that first-line supervisors (also known as sergeants) play in law enforcement. First-line supervisors communicate new expectations to subordinate officers and ensure that officers meet those expectations while on duty (Baker 2008). Overall, however, the literature on police supervision is limited in scope. It fails to address conceptual and empirical questions regarding first-line supervisors (Engel and Worden, 2003). This study examined the leadership behavior of police sergeants through the theoretical lens of transformational leadership (Bass & Bass, 2008), the type of professional development opportunities made available to them, their perception of their leadership practices as well as the challenges they faced as they transition from being police officers to first line supervisors.

This chapter reports the findings of the study thematically and is organized around the four essential research questions. Four distinct themes emerged during the research. The first theme was Self-Perception of Sergeants as Leaders: Leadership Behaviors of first-line supervisor. The second theme was Practices of Transformational Leadership as reported by Sergeants. The third theme was Professional and Leadership Development of
First-Line Supervisor. The last and final theme was Challenges faced by Police Sergeants. Each theme related to the study’s research questions centered on the professional/leadership experiences of police sergeants. The essential research questions were:

1. What are the self-reported and observed leadership styles and practices of police sergeants at the Echo Bay police department?

2. To what extent do police sergeants practice the tenants of transformational leadership?

3. How do police departments develop the leadership competencies of their police sergeants and

4. What are the sergeants’ perceptions of the challenges they faced as they transition from patrol officers to first line supervisors?

To help understand the findings, it was necessary to set the stage from two perspectives: (a) the nature of professional police work and (b) the dynamic environment as well as the centralized workplace of the sergeants. The chapter ends with a summary of findings.

**Setting the stage: unique to the job of policing.** Understanding this much-textured setting requires an appreciation of the unique and specific features of the policing profession. The participants all seemed to be in agreement that there are reasons to think of their jobs as different from those of other professionals. Mostly, these reasons centered on the fact that policing carries with it a great deal of ethical, legal, moral, and professional responsibility. In a number of cases police officers are called upon to make split-second decisions that very few other professions would be asked to perform. In the
case of police work, the circumstances are rarely ideal and the potential for a negative outcome is omnipresent. This concept was evident during a conversation between the researcher and an expert panel member (EPM).

Imagine being offered a job and the salary is 250K a year. Would you take the job? What if that job came with one caveat . . . ? You cannot say no. Would you still take the job? In policing, when a call comes over the radio shots fired citizen in need of assistance, police officers respond to the call no matter what . . . they have no choice in the matter. No is never an option. Regardless of the type of call, police officers are the first on the scene, running to, not away from, the incident. It’s a job/profession where the salary doesn’t begin to compensate for the risk and danger face by law enforcement officers. (EPM1)

**The Echo Bay precinct’s environment.** The Echo Bay Police department sits on a major thoroughfare in town and is a prominent, wheelchair-accessible building with a large parking lot. The design of the building emphasizes functionality as opposed to comfort. This was based on my environment scan. At first glance the police department was active, orderly, and always a busy place, regardless of the time. There was a clear demarcation of areas where the police operate and where the public is expected to conduct business. For example, members of the public who had the need to enter into the officers’ space were required to be accompanied by an officer. Doors leading to officers and/or their units were closed and appeared locked.

Slightly out of view from the public and directly behind the reception window, was the communication/command post. This is where the desk sergeant was located. In the center of the command/communication room, located high on a platform was what
the officers commonly referred to as The Desk, which overlooked several workstations. Directly behind the desk were closed-circuit monitors that watched the out-of-view perimeter. The following areas were in full view of the desk sergeant: the parking lot, a prisoner loading area known as the sally port, jail cells, lobby, booking area, and other work spaces. The sergeant, who managed the desk for the shift (also referred to as the tour) is generally responsible for maintaining contact with all officers on patrol. He/she provides guidance and feedback to officers in the preparation of all paperwork, processes arrests, and conducts security checks of the facility.

The workstations were staffed with a police officer and five community service officers who answered calls and dispatched the officers to the scene. Large computer screens displayed each call, officers’ location, and action taken for each call. The chatter of the walkie-talkie, the ringing of the phones, and the muffled discussions between officers and citizens were incessant. The quality of the interactions between the citizens and officers was courteous and professional. The nature of the interaction was transactional. There were dynamic exchanges between citizens and officers, that sought to problem solve. This initial environmental scan showed evidence of transformational leadership, as defined by Bass and Bass (2008), taking place within the police department. Findings from this study showed the extent to which sergeants are exercising transformational leadership qualities and how these qualities were present without formal leadership training.

**Overview of findings.** The research questions that guided the inquiry yielded the following results. In response to the first research question, which examined the self-reported and observed leadership styles and practices of police sergeants at the Echo Bay
police department, the sergeants identified concepts that for them defined leadership or exemplified leadership behaviors. These concepts ranged from maintaining integrity, modeling other leaders, individualized consideration, and leadership can be taught with limitation.

The second question sought to examine the extent to which sergeants’ practiced the tenants of transformational leadership. The in-depth interviews revealed evidence of transformational leadership. However, the Multifactor Leadership Questionnaire (MLQ) revealed that sergeants were equally transformational and transactional. It was further noted that the Echo Bay Police Department created an environment where mentoring, coaching, and modeling other leaders were used as a methods to develop the leadership competencies of the first line supervisors. This was done informally.

The discovery of an informal system of leadership/professional development answered the third question: How do police departments develop the leadership competencies of their police sergeants? The finding suggested that police sergeants at Echo Bay used transformational leadership behaviors to help them transition into their supervisory position.

Last, the fourth question sought to highlight the challenges faced by police sergeants as they transition from police officer to first line supervisor. Sergeants revealed that their biggest struggle was finding ways to motivate and engage their subordinates as well as supervising former colleagues. Additionally, sergeants indicated the need for leadership training that addressed the unique needs of police sergeants.

The sergeants at the Echo Bay Police Department provided the researcher with a total 96 themes and subthemes that revealed the perceived challenges of first-line
supervisors, their leadership behaviors, and the leadership development opportunities afforded to them. The next section discusses in detail the data and related findings starting with a descriptive analysis.

**Data Analysis and Findings**

The researcher conducted this study using a variety of qualitative methods, such as questionnaires, interviews, and observations. Rich textural data was used to answer the research questions. There was a process of identifying and ranking themes and subthemes to provide meaning. The researcher focused on the frequency of themes occurring across participants.

**Interview data.** Nine interviews were conducted with sergeants who self-selected to participate in the in-depth interview portion of the study. On average, these interviewees had roughly 12 years of police service before being promoted to sergeant. The participants were asked a series of open-ended questions that focused on their thoughts on leadership, their perception of their own leadership development and their perception on their transition from line officer to supervisor. These respondents provided the researcher with densely rich material regarding their ideas about leadership. They provided examples from their work as police officers, sergeants, as well as from non-policing life experiences to illustrate their viewpoints on leadership or to draw parallels to their ideals. Overall, the interview data generated 96 themes and subthemes that were organized into six categories based on the essential research questions (see Appendix F.). The categories were Qualities Inherent or Unique to the Job of Policing (6 themes), General Challenges to Sergeants (4 themes), Transformational Leadership Qualities (65
themes and subthemes), Transactional Leadership Qualities (2 subthemes), Professional Development (14 themes), Challenges to New Sergeants (5 themes).

For the purpose of this study, the researcher reported comprehensively on themes that were identified across 60–100% of the participants. First, the researcher used a cross analysis to identify themes that occurred across all nine participants and subsequently did so for distribution over eight and seven participants. The researcher was mindful of the fact that the lack of reporting may be as significant as common reporting of themes; therefore, low frequency occurrences of themes are presented in a separate section following. As noted in Chapter 3 the researcher opted to process some themes, concurrently as subthemes. This meant, for example, that for the subtheme and theme of encourage the heart, there were reporting on encourage the heart as a subtheme, which occurred in 7 interviews, while other subthemes, such as close supervision, were reported in seven and six interviews and 13 and 15 times each. This resulted in the overarching theme of encourage the heart as being reported 48 times with encourage the heart by itself reported 20 times. In addition, a descriptive analysis was used to provide demographic information on the respondents who participated in the study.

**Questionnaire data.** The nine respondents who participated in the in depth interviews were self-selected from fourteen police sergeants who responded to the survey. The survey questions were demographic and professional in nature. The remainder of the survey addressed questions related to police professional development and items from the MLQ.

**Descriptive analysis: participants’ demographics.** Out of a total of 24 first-line supervisors at the Echo Bay Police Department who were classified as police sergeants,
14 agreed to take the MLQ. The age range of the participants was divided into two groups, of which 50% were between the ages of 36-45 while the other 50% were over 45 years old. A total of 58% (14) police sergeants participated in the study—2 females and 12 males. Among the 14 participants under study, four (29%) were African American, one Hispanic (7%), eight Caucasian (57%)s and one (7%) of mixed race. Among the participants surveyed, nine (64%) were married, four (28%) single and one separated sergeants. Their law enforcement work experience varied in that one sergeant had 6 to 10 years’ experience, three had 11 to 15 years’ experience, five had 16 to 20 years’ experience, and five sergeants had over 21 years’ experience. The educational levels of the sergeants ranged from an associate degree to a doctorate. Two participants had juris doctorates, four had master’s degrees, seven had bachelor’s degrees, and one an earned associate degree.

**Research Question 1**

The first research question sought to establish what were the self-reported and observed leadership styles and practices of police sergeants at the Echo Bay police department. The researcher used a two-pronged approach, in-depth interviews and participant observations, to answer this question. In order to better understand the leadership practices of police sergeants at the Echo Bay police department, the researcher engaged the participants in a dialogue about leadership in the context of policing. The participants were asked a series of open-ended questions that focused on their thoughts on leadership. For example, the participants were asked to define leadership in their own words, to discuss some characteristics of effective leadership, and speak to the critical leadership qualities they felt sergeants needed to have in their position as first-line
supervisors. When they expressed their thoughts and feelings about leadership, the participants’ comments yielded a total of 65 leadership themes.

The researcher organized the numerous subthemes into 10 overarching themes. There was much overlap between Research Question 1 and Research Question 2. This overlap existed because respondents sometimes discussed ideals of leadership by holding themselves up as examples, through anecdotes or self-descriptions. All of the themes and subthemes pertaining to Research Question 1 were raised during the interviews as characteristics of leadership or as the qualities and behaviors associated with leadership and leaders. All fall within the theme category of Transformational Leadership. The way in which the themes and subthemes were named and organized is presented in Appendix G.

The researcher used a cross analysis to identify the top-10 reported leadership characteristics/concepts. Themes that were identified across respondents between 60 and 100% were included in the analysis and are discussed in the next section.

**Sergeants’ perceptions on top-10 leadership characteristics.** The participants identified the following 10 concepts as important elements of leadership at the first-line supervisor level. Table 4.1 highlights the top-10 characteristic of leadership as described by the sergeants.
Table 4.1

*Leadership Characteristics in Rank Order as Perceived by Participants*

<table>
<thead>
<tr>
<th>Sergeant’s Perception of Leadership: Top-10 Concepts</th>
<th>Mentioned in n Interviews</th>
<th>Theme Frequency</th>
</tr>
</thead>
<tbody>
<tr>
<td>Maintain Personal and Professional Integrity</td>
<td>9</td>
<td>57</td>
</tr>
<tr>
<td>Model Other Leaders</td>
<td>9</td>
<td>35</td>
</tr>
<tr>
<td>Individualized Consideration</td>
<td>9</td>
<td>34</td>
</tr>
<tr>
<td>Leadership Can be Taught</td>
<td>9</td>
<td>13</td>
</tr>
<tr>
<td>Knowledge</td>
<td>8</td>
<td>38</td>
</tr>
<tr>
<td>Coaching Approach</td>
<td>8</td>
<td>35</td>
</tr>
<tr>
<td>Ambition</td>
<td>8</td>
<td>29</td>
</tr>
<tr>
<td>Accountability for Subordinate</td>
<td>8</td>
<td>14</td>
</tr>
<tr>
<td>Mentoring</td>
<td>7</td>
<td>26</td>
</tr>
<tr>
<td>Encourage the Heart</td>
<td>7</td>
<td>20</td>
</tr>
</tbody>
</table>

All of the sergeants viewed effective leadership as being multifaceted and requiring a cornucopia of skills that produced a desired outcome. As highlighted by Sergeant 3: “leadership within the context of policing is defined as being able to get the job done through and with other people.” Further, a number of participants saw themselves as leaders by the nature and responsibility of their position as sergeants. As Sergeant 3 acknowledged:

Some people take on a leadership role [within an organization] where sergeants are given a leadership role I think people want . . . to follow you; . . . I think people are begging to be led, and with that, people want to know there’s security in that. They want to know if something bad happens, xx, legally, or emotionally,
that you’re going to be able to be there and take care of them. So you don’t break down crying at a bad scene; or you don’t say, “No, I didn’t make that decision, someone else did.” All those kind of things, you’re responsible for. People [your team] want you to do that [be responsible].

Maintain personal and professional integrity. Across all nine participants, the importance of integrity was emphasized. Participants made references to this ideal of personal and professional integrity a total of 57 times. These concepts were assigned to quotations that referred to actions taken with the aim to do the right thing, sometimes in the face of various types of pressure and sometimes in spite of what might be easier or more pleasurable. As an example Sergeant 5 offered the following comment:

As a patrolman you can cut corners—not abusing the law—but you can cut corners . . . as long as you didn’t do it right in front of the supervisor. Now as a supervisor I didn’t have that ’cause now I have to be the one who tells you that you don’t cut corners.

Sergeant 9 emphasized the value of integrity. “I think an important value is integrity. I believe you need to be honest and direct in certain instances”

Sergeant 7 felt that it was important to treat everyone in the same way.

My values and beliefs as it pertains to the Police Department is that this is a tough job at times, and it’s an easy job at times. You have to treat people the same as if you were making a felony arrest, as if the person that comes in to make a silly complaint about a barking dog. So you got to treat everyone the same, ultimately you have a job to do, so my values are … equality, you still have to do your job which is sometimes enforcement and arrest. (Sergeant 7)
Sergeant 6 emphasized the value of honesty, saying, “[Some of the characteristics that I attribute to effective leadership are] being forthright and truthful, you know, never lying to your men or your people.

**Individualized consideration.** Individualized consideration refers to a leader who reaches subordinates on a personal, one-on-one level in order to foster a supportive relationship. The following quotes exemplified some aspects of this theme, while perhaps not capturing the theme in its entirety. A quotation from Sergeant 5 exemplified this main theme as it relates to defining leadership: “[Leadership is] realizing that you can’t take a message or an order and deliver it to 10 people and expect the same understanding amongst all 10.” The theme itself was identified 34 times in all nine interview texts.

**Leadership can be taught.** The concept that leadership can be taught with limitation speaks to the notion that leadership is not elusive. Baker (2008) suggests that police leadership directly affects police officers and the way they perform their duties. Haberfeld (2002) posits that education and training is critical for law enforcement officers. Therefore, in order for law enforcement agencies to find potential leaders when positions become available, law enforcement organizations need to invest in leadership training for officers at the beginning of their careers. The majority of participants recognized that all officers were leaders or at least had the potential to become one. As noted by Sergeant 7: “Being a police officer, you’re also in a leadership role as well because you are being called to solve people’s problems, whether it be an accident or a domestic incident.”

The sergeants further acknowledged that their police officers had a great deal of autonomy and responsibility that came with their position. As observed by the researcher,
it was the officer who responded to the call first and the supervisor who followed, but it was the officer who had to take control of the scene. Based on the nature of policing, a majority of the sergeants felt that it was their responsibility to prepare their officers for what they might experience in the field. Hence perceptions on the importance of leadership training are captured by comments made by Sergeant 4. “Leadership training is important because police officers are going to be the sergeants, [then] lieutenants; they’re going to be in the administration in the years to come . . . so it is important.”

Additional examples of the concept that leadership can be taught with limitation were expressed by Sergeants 1, 2, 3, and 5, as follows.

I think some aspects of leadership can be taught because I sure didn’t know everything, or don’t know everything right now . . . My group of lieutenants, my bosses, when they were sergeants, they told me what they did or how they’d done it, so you can learn some things. Other things you can’t learn like it’s your . . . personality . . . Just because . . . they make you sergeant, doesn’t mean that you’re an effective sergeant, an effective supervisor. There are some things you can learn, but most of it has to be . . . from yourself. (Sergeant 1)

Sergeant 2 said, “I think some of [of leadership] can [be taught]; I think you can teach someone the skills, but if they’re not inherently a leader, sort of by personality, I don’t think that they will be an effective leader.” Sergeant 3 offered this: “I think leadership training is extremely relevant and it should exist. . . . I do believe it can be taught and I think if people want to, it can be learned.” Sergeant 5 added,

Some principles of leadership can be taught, yes, but there has to be certain, certain things have to be I would say innate to be an effective leader and clearly
not everybody because we come and we saw the supervisor just simply passing a civil service exam and having a good enough track record as a worker to be promoted. So you know, being an adequate leader and being a good leader they’re two different things.

**Model other leaders and seek advice.** Participants made a good deal of mention of their sense that their leadership qualities were modeled after their own past or present supervisors. Sergeants indicated the importance of learning from more experienced officers in order to attain a broader understanding and ultimately practice of leadership.

One sergeant provided the following insight: “As far as being a people person, I knew I wanted to be able to effectively talk to the public and my men. Sergeant [name] was very vocal, very good with that.” In terms of seeking advice from other leaders, a quotation from Sergeant 1 sums it up succinctly: “You want to get [advice from] your lieutenants because they’ve been around long before you were and they might have dealt with the same type of issue.”

**Knowledge.** Sergeants emphasized the necessity of possessing and regularly updating or increasing one’s knowledge of topics relating to all aspects of their work. Without in-depth and job-specific knowledge, the Idealized Attributes, including ethics, fairness, and trustworthiness, is described as difficult to be practiced. Some sergeants suggested that knowledge outside of the field of policing can broaden one’s perspective and deepen one’s wisdom. An example of this concept follows:

To be a leader you have to have knowledge. A lot of times police officers aren’t sure what the law is. I think if you’re going to do this profession you have to take the time to study the law and be familiar with it and know it. You can’t enforce
something if you’re not sure what it is. Just like anything in life, you got to read the rule book if you’re going to participate. As a leader, guys usually ask the boss; what do I do in this situation? The reason you know what to do in that situation [is] ’cause you read up on it, you know the law; you know the rules and regulations. And to be a supervisor—and to be a leader—you have to have that knowledge base. . . . You can’t make it up as you go along. (Sergeant 6)

This quote represented the general responses reported among eight of the nine participants (89%). This concept was raised a total of 38 times, indicating that it is a commonly held idea understood by study participants to be inherent to good leadership in the police department.

**Coaching approach, guidance, and mentoring.** These three concepts were identified 71 times on average by 78% of the participants. These three closely related concepts all relied on Individualized Consideration in order to engage the person being coached, guided, or mentored. Often, respondents not only raised these ideas but actually mentioned these very words in their narratives. Further, sergeants noted that coaching approach, guidance, and mentoring were important aspects of leadership. Sergeant 7 exemplified the concept of a coaching approach in this way:

And it actually helped my relationship with my people because they saw I wasn’t going to take over their call every time. . . . I’d get there—“I’m just here. . . . You do what you got to do and I’m just here to make sure it gets done in the way it’s supposed to get done, and you’re doing the job.” . . . If you do a bad job, I’m not going to rip you in front of everybody else: “Come on, we got to go talk. This is what should have happened.”
Through the process of participant observation, there was clear evidence of the presence of on-going coaching, guidance, and mentoring taking place. For example, the researcher was at the precinct (during a shift change) and there were two sergeants present at the desk; this was rare as they tend to work the command/communication desks alone. During the time that both sergeants were present, the sergeant who was not tending to the desk and its related duties spent his time calling officers and discussing with them a number of technical and legal issues. The debriefing covered everything from sequence processing of an arrest to writing what happened accurately and objectively and being clear as to what law was violated which prompted the arrest. The sergeant was being instructive to the officer in terms of being mindful of the fact that the officers’ notes/reports are critical in prosecution and/or court proceedings.

Coaching approach was described by Sergeant 3:

You have to understand that we’re not just leading subordinates, we’re leading people that we want to be leaders. . . . There’s usually a negative connotation to what we’re doing and that’s reality. So we have to understand that we have people under us that are going to have to do those things and I think it’s a lot easier for those people to . . . want to take your instruction if you’ve already done that at that same level that they were.

**Ambition.** The concept of ambition was defined in this study as the drive to attain certain professional goals. The theme was identified by 7 (78%) participants 29 times. The participants also saw ambition as an important element of leadership. Participants indicated that if you wanted to become a “boss,” then you have to produce. An officer
needs not only to be ambitious but have initiative, intrinsic motivation and be self-taught. Following are representative quotations of the concept:

On ambition: “When I came here . . . I want to be a commissioner, ’cause that’s the top spot. I want to be the top guy.” (Sergeant 4)

On initiative: “Very rarely did I like to sit and do nothing. . . . If it was a slow day I would maybe do radar, speed, issue tickets—always interacting with people, just always on the go.” (Sergeant 8)

On intrinsic motivation: “I want to always keep going. I’m not necessarily content sort of being where I am. I need change; I need to do different things.” (Sergeant 2)

On self-taught: “You have the opportunity to study a little more, a little more down time being on the desk to catch up and read, but you have to do some of the work yourself, it has to be self-taught.” (Sergeant 7)

On high performer: “I like to work hard at whatever I’m doing, make sure I’m doing it right; make sure I produce something. Whatever my assignment is, I do it to the fullest.”

**Accountability for subordinates.** Participants discussed the concept of accountability for subordinates in the context of effective leadership. Participants felt that they had a responsibility to provide guidance, direction, and feedback to their team. As described by Sergeant 7, “Leadership means having to take responsibility and have a plan.” In another instance, Sergeant 2 said the following:

I think [the sergeant] has to be willing to make decisions and put yourself potentially out there because . . . you’re the one who’s going to have to take responsibility. . . . If you’re not willing to make a decision and stand your ground
and support your decision and your officers, I don’t think you’re an effective leader.

**Mentoring.** Bass and Bass (2008) described mentors as individual who motivate others to advance their careers. Mentors help people to learn and work towards their potential and find new meaning to their jobs. This concept was expressed by Sergeants 6 and 4 with these statements:

I think by including people in the picture, like explaining this is you’re just one little step, or one little task, but when you give them the whole big picture saying okay, you really got to get this done in order for so and so and so and so’s deadline, and I think not so much leadership that they’re going to step into a leadership role, but to include them in the decision making or the process I think helps people get to work, self-motivate themselves more the more they’re aware of it. (Sergeant 6)

Cops are a different breed when it comes to mentoring and things like that and I realize that. . . . And they do mentor, some of them are very good, some of them will tell you. I’ve had supervisors that are mentoring you without being, they’re not in the traditional sense. (Sergeant 4)

**Encourage the heart.** Encourage the heart refers to a leader who reaches subordinates on an emotional level in order to foster personal connectedness within a safe and supportive atmosphere (Kouzes and Posner, 2007). Sergeant 1 was encouraging the heart with these thoughts:

If you see a guy on call and you see him doing excellent, doing everything he should have done, you could tell him all day you did a great job and why’d you do
this? What made you do this? And they explain why they did it and give the right answer, that’s great.

Sergeant 3 exemplified encourage the heart with his spontaneous wish to help another person:

You help people with the little things that you think are little, but something as simple—a guy calls me up one day and he says, “[Name], I’m in the hospital.”

“That’s terrible; what do you need?” “I gotta get a ride home; they’re not letting me out of the hospital; they’re saying I have to sign waivers and all this.” So on my way home, we end up finding out that he can leave, and he leaves, and I bring him down to the lobby, he goes “Thank you very much, thanks a lot.” and he stops. I’m walking, I’m like, “Who’s driving you home?” And he says, “I’ll have to call a cab or something.” I’m not going to do that. “Get in the car, I’ll take you home.” I have a very personal interaction with him. So now I tell him to do something, or ask him to do something, he’s ready to run through glass for me because you did the little things which is nothing more than taking time out for him to drive him home. You know you do a little, . . . to me, that’s leadership.

Encourage the heart was put clearly and succinctly by Sergeant 6 just by saying, “But as a leader you have to encourage that motivation.” Being accountable for their subordinates raised additional thoughts about the sergeants’ responsibilities as a leader. These other concepts are discussed below.

**Related subthemes: Sergeants’ perspectives on leadership.** When asked what makes a leader effective, six (67%) of participants agreed that leaders need to be able to (a) communicate effectively, (b) have knowledge of themselves, (c) provide social
emotional support, (d) demonstrate self-confidence and emotional control, and (e) provide feedback, task significance, and establish trust. As noted by one sergeant: “in order to lead, one needs followers.” The sergeants spoke about having each other’s back as well as their officers’ backs and the importance of trust. They felt that their officers needed to believe and trust that they would do right by them. Sergeant 6 gave these examples: “Being forthright and truthful, you know, never lying to your men or your people. Providing a good example of what you expect people to do in their position as a cop.” Participants also discussed the importance of effective communication, as sergeants were often called upon to provide clear, concise direction to their team.

**Effective communication.** As a way to set an example, displaying modes of effective communication was raised by interviewees. This subtheme in particular is best taught by modeling. Additionally, Sergeant 3 pointed out how sometimes good communication allows a leader to model other [transformational] leadership qualities, such as self-confidence: “People need to know [by your communication] that you’re thinking clearly, concisely.” This subtheme was raised by seven respondents (78%) a total of 12 times. The participants also felt that it was important for them as leaders to be able to make decisions in a timely fashion. Five out of nine (56%) participants felt that their ability to make a decision was an important aspect of effective leadership.

Participants expressed how in the field of law enforcement, indecisiveness can lead to uncertainty, which can affect confidence. For example, as described by a sergeant, “I rather make a decision—if I’m wrong, I’m wrong; if I’m right, I’m right—but I’d rather not let the people I supervise feel that I’m an ‘iffy’ type of supervisor.” This comment is reflective of the subtheme decisiveness which appeared 15 times across five participants.
The participants also spoke about the importance of leaders to be able to self-reflect. They felt that it was important for leaders to know who they were as individuals and as a leader.

**Know thyself.** The sergeants discussed the importance of knowing who they were as an individual and that taking the time to evaluate their strengths and weakness, their values and beliefs helped them to be effective leaders. Self-awareness is essential in order for a leader to put the needs of others in front of their own needs, which is among the Idealized Attributes of a transformational leader. Respondents raised this issue mostly by way of anecdotal dialogue. For example, Sergeant 3 stated the following:

[The] three most important things you’re going to learn on this job [are], what you could do physically, what you could do mentally, and what you could do legally. . . . Once you know those three things, you could then start to critique yourself and figure out what you’re supposed to be doing . . . as a leader. You need to know that for yourself.

Self-awareness was elegantly expressed by Sergeant 2, “If you need help, you need help.” Sergeant 4 added, “I think that, you know, we are three people here, who you think you are, who others think you are, and who you really are, it’s a mix of those three things.” Sergeant 5 said, “I mean there are other little things that go into, it being aware of yourself.” Sergeant 9 asked, “Have I made mistakes going along the way? We all make mistakes, I’ve made mistakes, but I’ve learned from those mistakes.” The concept know thyself was raised a total of 16 times among six (67%) of the participants.

**Socio-emotional support.** This concept was raised by six participants (67%) a total of 16 times, speaks to a sensitivity that reaches beyond police work into a person’s
state of feeling and therefore falls under the theme, Encourage the Heart. In fact, socio-
emotional support is a direct form of encouragement. Interview respondents spoke of
actions they took simply because they perceived that it would lift up the spirits of their
subordinates. An additional example of socio-emotional support was Sergeant 4’s
appreciation that

if we have an incident that occurred the night before, I try to make sure that it
ends successfully for the rest, nobody got hurt, everybody goes home. [At roll call
I’ll say,] “Everybody did a really good job on that,” and I try to point out the
things that we did exceptionally well.

**Air of authority, control emotion, self-confidence.** These three concepts refer to
the qualities that sergeants intend to project to their subordinates. Air of authority
specifies statements wherein respondents emphasized the importance of leaders in the
police department displaying the uniform in complete and proper fashion. References to
controlling one’s emotions and projecting self-confidence were other ways in which
respondents typically sought to set an example for their subordinates. An example of each
of these follows:

On air of authority:

The reason we shine our shoes and have the creases in our pants that are creased,
are sewn in . . . the buttons and the tie, and the tie bar—all these things are to
project to somebody else a presence. Well it is no different when you’re
projecting, what you’re projecting to people on the street or projecting to people
that you live with basically, people that you are working with, and people who are
working for you now. (Sergeant 3)
On control emotion: “Lead by example with regards to uniform and behavior on the street, . . . keeping your temper, keeping an even keel” (Sergeant 6). On self-confidence: “You have to be confident in yourself, or express confidence. You have to show them they can believe in you, they can trust you” (Sergeant 1). All together, these three subthemes were raised 22 times by eight respondents.

Feedback and task significance. In their roles as leaders, the sergeants felt that an effective leader was one who was capable of coaching, guiding and mentoring their officers. The concept of feedback referred to providing counsel and direction. Many of the participants spoke about spending time one-on-one with their subordinate. In their roles as coaches and mentors the sergeants emphasized the importance of helping their officers become proficient at executing certain task relevant to the position. Therefore, task significance referred to a leader communicating to a subordinate the substantial impact a task can have on the lives of other people, whether those people are within or outside the organization.

The concepts of feedback and task significant were raised in six interviews (67%) a total of 18 times. For example: During one observation in which a police officer was fully engaged with a member of the public, I saw a sergeant gently pull the officer to the side twice to provide him with simultaneous guidance. This was great teaching moment; the officer not only learned the technical aspect of what had to be done, but the interpersonal component and he received the feedback in the here and now. After the event, the sergeant provided the officer the opportunity to debrief as to what had happened; this reflection is critical to leadership development.

Close supervision. In order for the sergeants to provide appropriate and relevant
feedback it required a level of close supervision. However, the meaning of close supervision was not viewed by the sergeants as micromanaging or some other negative connotation. Instead the sergeants viewed close supervision as a supportive but watchful behavior. It was described across participants as a sense of responsibility for their positions as supervisors as well as looking for the opportunity to educate subordinates. This concept was raised within the context of policing generally viewed as demanding a high sense of responsibility and morality. The sergeants reported close supervision or monitoring of their subordinates as necessary to protect not only themselves but the general public as well as the subordinates, and sometimes even the image of policing, from what could amount to preventable and costly mistake. The following quotation from Sergeant 1 makes reference to guarding the image of the police department:

Police leadership . . . involves dealing with the public and the perception of the police with the public. So I think we have to be a little more involved to make sure that they’re showing the right view of the police offers to the public.

This subtheme was raised by seven interviewees (78%) a total of 13 times

**Summary of findings for Research Question 1.** Through in-depth interviews the participants shared their thoughts on leadership. The interviews yielded 65 leadership themes such as impression management, ambition, knowledge, and social emotional support. A complete list of subthemes is exhibited in Appendix G. Further, the sergeants described characteristics and concepts that they felt were critical in police leadership, specifically in the role of sergeant.
Research Question 2

This research question sought to establish the extent to which police sergeants practice the tenants of transformational leadership. The researcher used a three-pronged approach: in-depth interviews, participant observations, and the administration of the MLQ to answer this question.

Interviews and participant observations. The interviews as well as the direct observations supported a finding that transformational leadership was in use within the Echo Bay Police department. For the purpose of this study, the researcher will discuss in this section the five qualities of transformational leadership with the highest frequency. The transformational leadership characteristics: idealized attributes (150), individualized consideration (127), inspirational motivation (108), idealized behavior (91) and model the way (79) were described by the participants as they discussed the importance of leadership in policing at the first-line supervisors’ level.

Based on this finding, it can be assumed that these particular conceptual modes of leadership are in practice to some degree among this police department’s first-line leaders. The remaining five themes appeared with the lowest frequencies throughout the interview texts, namely: Challenge the Process, Intellectual Stimulation, Enable Others to Act, Idealized Influence / Charisma, and Encourage the Heart.

Table 4.2 presents the relative frequencies with which these themes occurred in the interviews. By ranking these 10 transformational leadership qualities themes from highest to lowest, we can get a picture of how the sergeants in this study practice transformational leadership. Figure 4.1 shows the frequency that transformational leadership qualities were expressed graphically, in the form of a bar graph.
Idealized attributes and idealized behavior. This characteristic of transformational leadership refers to a leader who is ethical, trustworthy, respectable, and puts the needs of other before his or her own (Bass & Bass, 2008). Across participants this transformational leadership quality was identified 150 times. The other major subthemes that fell under this transformational leadership quality were authenticity, approachability, high intellect, and common sense. Participants discussed how their leadership qualities are sometimes modeled after their own past or present supervisors. The two subthemes, (a) model other leaders and (b) seek advice, were used to code statements referring to two different modes of learning from those more experienced than oneself in order to attain a broader understanding and ultimately practice of leadership in one’s own thinking and activities. Just as analytical thinkers are able to develop and own idealized attributes through a thinking process, so too must idealized attributes be developed through modeling and seeking advice from others. As reported by Sergeant 1, modeling is important in the line of work. “You want to get [advice from] your lieutenants because they’ve been around long before you were and they might have dealt with the same type of issue.”
Table 4.2

Frequency That Sergeant’s Transformational Leadership Qualities and Subthemes Were Expressed

<table>
<thead>
<tr>
<th>MLQ Main Theme</th>
<th>Subtheme</th>
<th>n</th>
<th>F</th>
<th>%</th>
</tr>
</thead>
<tbody>
<tr>
<td>Individualized Consideration</td>
<td>Active Listening</td>
<td>9</td>
<td>34</td>
<td>5</td>
</tr>
<tr>
<td></td>
<td>Coaching approach</td>
<td>5</td>
<td>13</td>
<td>2</td>
</tr>
<tr>
<td></td>
<td>Guidance</td>
<td>8</td>
<td>35</td>
<td>5</td>
</tr>
<tr>
<td></td>
<td>Know and Use Staff Skill variety</td>
<td>6</td>
<td>10</td>
<td>1</td>
</tr>
<tr>
<td></td>
<td>Mentoring</td>
<td>7</td>
<td>26</td>
<td>3</td>
</tr>
<tr>
<td></td>
<td>Provide Feedback</td>
<td>5</td>
<td>8</td>
<td>1</td>
</tr>
<tr>
<td></td>
<td>Task significance</td>
<td>2</td>
<td>10</td>
<td>1</td>
</tr>
<tr>
<td></td>
<td>Versatility in management styles</td>
<td>1</td>
<td>1</td>
<td>0</td>
</tr>
<tr>
<td>Encourage the Heart</td>
<td>Close supervision</td>
<td>7</td>
<td>20</td>
<td>3</td>
</tr>
<tr>
<td></td>
<td>Socio-emotional support</td>
<td>7</td>
<td>13</td>
<td>2</td>
</tr>
<tr>
<td></td>
<td></td>
<td>6</td>
<td>15</td>
<td>2</td>
</tr>
<tr>
<td>Inspirational Motivation /</td>
<td>Ambition</td>
<td>8</td>
<td>29</td>
<td>4</td>
</tr>
<tr>
<td>Inspire Shared Vision</td>
<td>Autodidact</td>
<td>6</td>
<td>10</td>
<td>1</td>
</tr>
<tr>
<td></td>
<td>Disseminate information</td>
<td>2</td>
<td>3</td>
<td>0</td>
</tr>
<tr>
<td></td>
<td>High performer</td>
<td>4</td>
<td>10</td>
<td>1</td>
</tr>
<tr>
<td></td>
<td>Initiative</td>
<td>6</td>
<td>16</td>
<td>2</td>
</tr>
<tr>
<td></td>
<td>Intrinsic Motivation</td>
<td>4</td>
<td>6</td>
<td>1</td>
</tr>
<tr>
<td></td>
<td>Job Satisfaction</td>
<td>6</td>
<td>8</td>
<td>1</td>
</tr>
<tr>
<td></td>
<td>Optimism</td>
<td>1</td>
<td>1</td>
<td>0</td>
</tr>
<tr>
<td></td>
<td>Participative Leadership</td>
<td>4</td>
<td>9</td>
<td>1</td>
</tr>
<tr>
<td></td>
<td>Task identity</td>
<td>7</td>
<td>9</td>
<td>1</td>
</tr>
<tr>
<td>Intellectual Stimulation</td>
<td>Hands-On Training</td>
<td>3</td>
<td>5</td>
<td>1</td>
</tr>
<tr>
<td></td>
<td>Practice</td>
<td>3</td>
<td>3</td>
<td>0</td>
</tr>
<tr>
<td>Challenge the Process</td>
<td>[No subthemes]</td>
<td>2</td>
<td>9</td>
<td>1</td>
</tr>
</tbody>
</table>
Table 4.2 (cont.)

<table>
<thead>
<tr>
<th>Main Theme</th>
<th>Subtheme</th>
<th>$n$</th>
<th>$F$</th>
<th>%</th>
</tr>
</thead>
<tbody>
<tr>
<td>Enable Others to Act</td>
<td>Autonomy</td>
<td>6</td>
<td>11</td>
<td>1</td>
</tr>
<tr>
<td></td>
<td>Observe</td>
<td>4</td>
<td>5</td>
<td>1</td>
</tr>
<tr>
<td></td>
<td>Trust</td>
<td>3</td>
<td>3</td>
<td>0</td>
</tr>
<tr>
<td>Model the Way</td>
<td>Air of authority</td>
<td>2</td>
<td>2</td>
<td>0</td>
</tr>
<tr>
<td></td>
<td>Appearance is Significant</td>
<td>3</td>
<td>4</td>
<td>1</td>
</tr>
<tr>
<td></td>
<td>Control emotion</td>
<td>4</td>
<td>9</td>
<td>1</td>
</tr>
<tr>
<td></td>
<td>Disciplining Officers</td>
<td>5</td>
<td>6</td>
<td>1</td>
</tr>
<tr>
<td></td>
<td>Effective Communication</td>
<td>7</td>
<td>12</td>
<td>2</td>
</tr>
<tr>
<td></td>
<td>Fulfill Duties by the Book</td>
<td>3</td>
<td>6</td>
<td>1</td>
</tr>
<tr>
<td></td>
<td>Readiness for Leadership Role</td>
<td>4</td>
<td>12</td>
<td>2</td>
</tr>
<tr>
<td></td>
<td>Self-confidence</td>
<td>6</td>
<td>11</td>
<td>1</td>
</tr>
<tr>
<td>Total</td>
<td></td>
<td>748</td>
<td>100</td>
<td></td>
</tr>
</tbody>
</table>

*Note.* Statistics for main themes are presented only for the occurrences of these themes directly in interview texts. Rather, here, they do not represent all related subthemes, but general references to the theme concepts themselves. Themes and subthemes occurred in varying frequencies and saturation across interviews. Thus, they are presented here showing both the number ($n$) of interviews in which they were raised and the overall frequency ($F$) with which they were raised. Percentages (%) are of the total number frequency of all themes and subthemes in this particular grouping.
**Figure 4.1.** Practice of Transformational Leadership Qualities Ranked in Rank Order by Frequency.

**Individualized consideration.** This characteristic of transformational leadership deals with the idea of extending oneself in such a way that goes beyond the professional relationship or supervisor-supervisee relationship between two or more staff. As described by Sergeant 3:

And it [leadership] is a lot of responsibility and we [sergeants] have to understand as leaders . . . where they’re [subordinates] are coming from, the people that you want to lead, whether they’re older than you, younger than you, . . ., I can actually lead people that . . . might be a brand new cop, but thirty years of age with two kids and with all the other baggage . . ., and all the other things that you have that
you might not expect a rookie to have. You think every rookie comes on [the job] who’s 21 years old living at home, no problems. Well that’s not true either... one of the other things that I do is learn who my people are and really make them understand that I’m here to help them. I’m not here to cover up for them, and I’m not here to you know wipe their noses, but I’m here to help them, so that could mean here on the job I can carry a [inaudible] for you, no problem. It was a sensitivity or regard observed during many tours when the researcher shadowed the sergeants as they conducted business. Individualized consideration was the most common theme applying to the definition of leadership.

Across participants this quality of transformational leadership was identified 128 times. Overall, sergeants saw the benefits of approaching each subordinate—and possibly more generally, each human being—with respect to differences between themselves and others. To highlight, individual consideration is one instance where the sergeant made a traffic stop and allowed the officer to make the arrest. This approach allowed the credit for the arrest to go to the patrol officer. The following observation was among the many examples the researcher watched unfold and that was consistent with what was expressed by respondents during the interview.

Sergeant 9 explained that leaders have to take the time to know their officers. For example:

I’d be clouding your opinion of somebody if I turn about and say Officer X is a problem child. That’s for me to learn as a first-line supervisor. So I can’t turn around and say this is what this one does. . . . I need to supervise to learn that. . . .
To sum it up, have an open mind, an objective mind of the people you’re going 
eto] first supervise

**Inspirational motivation.** Inspirational motivation was used in this study to refer 
to a leader who displays and exudes optimism, arouses goal-directed action, and 
motivates with values-based visions of success. The following concepts were exemplified 
by the sergeants:

Certainly the way people talk to their complainants or their victims is one 
thing. . . . The greatest officer will really handle all aspects of the call and do a 
thorough investigation in all aspects of the call. . . . When they go on a burglary 
team, they’ll not only interview the complainant, the victim of the burglary, but 
they will remember to do things like interview all the neighbors. . . . You want to 
interview neighbors on each side or the front and the back. . . . The really good 
officer will remember that there are different facets to every call and remember to 
complete up your investigation. . . . You have to really make sure that you 
document everything that we do, for . . . reasons like liability issues or court and 
stuff like that, so your great officer is actually almost like. (Sergeant 2)

**Model the way.** Model the way refers to a leader who seeks to set a high example 
while maintaining a clear understanding of ethics and values (Kouzes & Posner 2007). 
Specifically, model the way is a critical conduit to teaching skills that are not easily 
taught in a classroom setting. It assumes a level of “practiced wisdom” that is best shared 
in a natural environment. These observations were made without actual participation by 
the researcher. It was clear during every observation that the public owns the Echo Bay 
Police Department, in that they felt they could request help and expected to receive it in a
competent manner. Concurrently patrol officers and the sergeants saw themselves as public servants with the emphasis on service. As observed by the researcher, every call and or request was taken seriously and processed in the context of the Echo Bay department motto (modified to ensure anonymity) that “Every citizen deserves to be helped and we are committed to deliver help effectively.”

Sergeant 6 offered several examples of modeling the way:

[Leadership is] providing a good example of what you expect people to do in their position as a cop. I mean, everything else just flows from that, you know, doing a good job yourself and lead by example. . . . Lead by example with regards to uniform and behavior on the street, [for example], keeping your temper, keeping an even keel, you know, ’cause that’s what people expect when cops show up they don’t expect you to get all excited, they expect you to make it under control, not to join into the chaos. . . . Just providing an example on how to do it right and you know, but again, I mean little things like showing up to work on time, the right uniform you know, being squared away is leading by example.

**Low-frequency transformational leadership qualities of items.** Lower frequency is defined as having occurred in the fewest interviews and as having occurred the fewest times. At the lowest end was enable other to act, which surfaced in two interviews and came up four times, next was challenge the process, which occurred with the lowest frequency meaning that it showed in two interviews and came up nine times, and finally Intellectual Stimulation, which came up in three interviews five times.

**Challenge the process.** When sergeants discussed active opportunity seeking for themselves and their teams or referred to calculated risk-taking in order to innovate or
initiate a change, they were demonstrating the theme challenge the process. Some of the sergeants felt that for their roles to evolve within the organization they needed to be included in the policy-making process. However, that would require a shift in thinking within the higher ranks of this police department. This point was highlighted by Sergeant 4, who said the following:

Policing is a difficult thing because people [think that], police are brave and they do all those different things, but when it comes to real effective policy making decisions they’re very scared, because if you make a mistake, not that somebody is going to die, . . . but make an overall policy change for your department and crime goes up there’s going to be a problem, you know. So people [the rank] want to do the same things over and over, and over, and that’s why it’s going to be difficult for them to see front-line managers as real management, cause nobody wants to relinquish that authority. Even though everybody talks about the delegation of responsibility, they’re only going to do it so much they’re not going to give you the responsibility of, we’re not going to give the front-line supervisor the responsibility of, unless he’s in a unit that has to do it, you know. [If the] sergeant is head of property theft unit then he’s going to make the policy for how property theft works, but somebody like me, you know, they’re not going to let me make a policy for how they patrol, that’s going to be the captain’s job. You know.

This theme appeared a total of nine times in two interviews (22%), where eight of those occurrences of the theme occurred in one interview and once occurred in another interview.
**Intellectual stimulation.** This transformational leadership characteristic refers to leadership that touches subordinates’ creativity, eliciting innovations or solutions within a safe and supportive atmosphere. The following subthemes exemplify some aspect of this theme, while perhaps not capturing the theme in its entirety. The theme itself was identified five times in three interview texts.

**Hands-on training, practice.** These two concepts were raised as a necessary complement to classroom training. Hands-on training generally refers to supervisors providing their subordinates with opportunities to learn tasks by completing them while guided by the supervisor. Practice refers to supervisors providing their subordinates with the opportunities to repeat hands-on training so as to master the task. For example, hands-on training and practice are both mentioned in the interview with Sergeant 9: “your practical application is only going to be coming from hands-on and time in the rank to get it accomplished and to learn it.” Sergeants made mention of these two subthemes a total of six times in six interviews.

In sum there was evidence that tenets of transformational leadership, as defined by Bass and Kouzes and Posner, were in use at the Echo Bay police department. This was supported by both the musing of the sergeants as well as observed in action.

**Transactional leadership characteristic.** The MLQ painted the picture of sergeants being equally transformational and transactional at the 55th percentile. As discussed, the MLQ measures the full range leadership model therefore provides information on all three leadership styles. Within transactional leadership, contingent reward, management by exception passive and active are processed. Aligned with the transactional leadership findings are the interviews which revealed that only one sergeant
identified themes related to transactional leadership. The two subthemes of contingent reward and discipline as motivation was identified by one participant a total of four times. Also noted by the researcher was the fact that neither laissez faire or management by exception: active/passive was not identified by any of the participants. The next section examines the findings of the MLQ.

**Multifactor Leadership Questionnaire.** The MLQ was included as part of the survey that was administered to 14 sergeants. The MLQ5X software automatically calculated each respondent’s subscore (See Appendix H). Using the MLQ manual (Bass & Bass, 2008), these subscores were given a norm-referenced percentile ranking. The overall MLQ results indicated that the sergeants as a group were equally transformational and transactional. This is contraindicated by both the in-depth interviews and direct observations. Table 4.3 provides the results for sergeant respondents in terms of MLQ percentile ranks.

At a glance, the percentile ranks for this sample’s transformational subscores produce a mean of a summary percentile rank of 55. The corresponding mean for the transactional grouping of subscores is 55. The two lowest ranks components of transformational leadership were idealized influence (behaviors) and intellectual stimulation. More clearly, perhaps, is the fact that laissez-faire style leadership is quite low, at the 20th percentile, in comparison to the other two styles measured by the MLQ. This leads to the fairly easy conclusion that relative to transformational and transactional styles, laissez-faire leadership styles are infrequently used by the sergeants in this study.
### Table 4.3

*MLQ Subscale Percentile Ranks for Sergeants as Leaders*

<table>
<thead>
<tr>
<th>Leadership Style</th>
<th>MLQ Subscale</th>
<th>n</th>
<th>M</th>
<th>SD</th>
<th>Percentile</th>
</tr>
</thead>
<tbody>
<tr>
<td>Transformational</td>
<td>Idealized Influence (Attributes)</td>
<td>11</td>
<td>3.33</td>
<td>0.39</td>
<td>60</td>
</tr>
<tr>
<td></td>
<td>Idealized Influence (Behaviors)</td>
<td>14</td>
<td>2.84</td>
<td>0.62</td>
<td>30</td>
</tr>
<tr>
<td></td>
<td>Inspirational Motivation</td>
<td>14</td>
<td>3.01</td>
<td>0.60</td>
<td>60</td>
</tr>
<tr>
<td></td>
<td>Intellectual Stimulation</td>
<td>14</td>
<td>2.84</td>
<td>0.63</td>
<td>50</td>
</tr>
<tr>
<td></td>
<td>Individual Consideration</td>
<td>14</td>
<td>3.40</td>
<td>0.53</td>
<td>70</td>
</tr>
<tr>
<td></td>
<td>Extra Effort</td>
<td>14</td>
<td>2.88</td>
<td>0.67</td>
<td>60</td>
</tr>
<tr>
<td></td>
<td>Effectiveness</td>
<td>14</td>
<td>3.37</td>
<td>0.49</td>
<td>50</td>
</tr>
<tr>
<td></td>
<td>Satisfaction with the leadership</td>
<td>14</td>
<td>3.39</td>
<td>0.59</td>
<td>50</td>
</tr>
<tr>
<td>Transactional</td>
<td>Contingent Reward</td>
<td>14</td>
<td>3.22</td>
<td>0.64</td>
<td>60</td>
</tr>
<tr>
<td></td>
<td>Management-by-Exception: Active</td>
<td>14</td>
<td>2.24</td>
<td>0.82</td>
<td>70</td>
</tr>
<tr>
<td></td>
<td>Management-by-Exception: Passive</td>
<td>14</td>
<td>0.75</td>
<td>0.43</td>
<td>40</td>
</tr>
<tr>
<td>Laissez-Faire</td>
<td></td>
<td>12</td>
<td>0.13</td>
<td>0.20</td>
<td>20</td>
</tr>
</tbody>
</table>

**Summary of findings for Research Question 2.** The most significant finding in this section was the sergeants’ perception of their leadership style as reported on the MLQ. The finding suggested that contrary to the MLQ scores, which indicated that sergeants were equally transactional and transformational, the in-depth interviews and direct observations revealed evidence of transformational leadership taking place at a
higher level. Looking at the results from the interviews all together, it becomes clear which transformational leadership concepts were raised at high frequencies. For example, individualized consideration was mentioned frequently, but challenge the process wasn’t often mentioned by sergeants as they discussed how they define leadership. How they define leadership seems to coincide with the types of leaders they are or attempt to be in their own practice as police sergeants.

With 127 occurrences, individualized consideration was the most common theme applying to the definition of leadership. Next most common among the themes that go to define leadership was idealized influence (behaviors), followed by model the way, both of which describe the many actions leaders in the police department can choose to do just for the purpose of building up the other members of the team. Together, these two themes represent a selfless, reliable, thoughtful, motivated leadership that upholds a sense of integrity.

In the middle-frequency range for this study’s sample of interview data, are the four remaining themes, idealized attributes, idealized influence / charisma, encourage the heart, and inspirational motivation / inspire a shared vision. Each of these showed a solid presence throughout the interviews and among all interviewees.

**Research Question 3**

This research question sought to determine how police departments develop the leadership competencies of their police sergeants. The researcher used a three-pronged approached of survey data, participant observation, and interviews to answer this question.
Interviews and participant observation. The purpose of the in-depth interviews was to examine the sergeants’ perception of the professional development opportunities afforded to them. The data from the interviews also offered additional contexts to the responses provided by the surveys. As discussed by research participants, the characteristics of a good sergeant included qualities such as honesty, self-awareness, flexibility, patience, and being analytical and capable of exercising good judgment. The participants of this study were in agreement with sentiments expressed by Baker (2009) who stated that sergeants are called upon to engage in complex roles which require that they master both strategic and tactical processes. Therefore, this section examined the participants’ perception of how the Echo Bay Police Department developed the leadership competencies of their first-line supervisors.

The participants discussed their thoughts, feelings, and experiences regarding professional development. What emerged was a tapestry of ideas on what works and is necessary, what does not work or is unnecessary, and desires for new programs or improvements to existing ones. In a prioritized fashion sergeants reported, based on frequency of reported themes, that coaching was a critical way through which they develop leadership competencies. The other way was through mentoring.

Themes relating to Research Question 3. Sergeants also reported that more professional development was desired although for the most part they felt satisfied with the quality and frequency of professional development opportunities offered. Seven interviews contained statements that the status quo in professional and leadership development opportunities are adequate, satisfactory, or do not otherwise present barriers. This theme was raised a total of 29 times. Interestingly, statements expressing
the opposite sentiment occurred 33 times in eight of the interviews (89%). Clearly, there were mixed feelings on the topic of the adequacy or availability of professional development opportunities. Examples of professional/career development opportunities are as follow:

**Job rotation as a form of professional development.** Job rotation was described as the opportunity for police officers to work in different units/ specialized department within the organization prior to becoming a sergeant. Although there was not a formal process for assigning police officers to different areas, they were allowed to apply for a transfer if an opening was available. Most of the participants referred to this as “luck.” Sergeant 7 provided the following as an example of job rotation:

> Getting a well-rounded officer and letting him [her] get some exposure into different units and keep moving them. . . . [There is] just so much information that as a patrolman you have no time to do it, but if they [the officers] all have that training and know how other units work it will make them that much more rounded as an officer that much more informed as a sergeant hands down.

Another example of job rotation was reported by the Sergeant 3:

> I think that when you’re identified as a sergeant candidate . . . they should almost immediately scoop you out of what you’re doing and put you in as many different tasks as possible, because I think it builds credibility with other people. . . . I learned [how to display weapons for evidence photographs] when I was in the drug task force because we had to do that kind of stuff.

**Diverse and relevant life experience as a form of professional development.** Sergeant 3 expressed the idea that experience was an important factor in an officer’s
leadership. “So the more experiences that you can bring as a leader to the people that you’re leading, the better they’re going to be because you can teach them more.

Coaching approach, guidance, and mentoring as a form of professional development. A cross analysis on participant response revealed three central themes: coaching approach, guidance, and mentoring. They each were identified as being critical to the leadership and professional development of police officers and sergeants. As indicated by Swanson and Holton (2009), coaching involves senior managers that work with individuals on a one to one to: (a) clarify performance goals, (b) recommend specific behaviors needed to improve performance, (c) serve as role models in demonstrating professional behavior, and (d) help to focus individuals on the result of the job and what it takes to achieve those results. All together, these concepts were identified in all nine interviews (100%) a total of 61 times.

The coaching approach was used by Sergeant 7 in his relations with subordinates:

And it actually helped my relationship with my people because they saw I wasn’t going to take over their call every time. . . . I’d get there—“I’m just here. . . . You do what you got to do and I’m just here to make sure it gets done in the way it’s supposed to get done, and you’re doing the job.” . . . If you do a bad job, I’m not going to rip you in front of everybody else: “Come on, we got to go talk. This is what should have happened.”

Sergeant 1 showed exemplary use of guidance when he said:

Sometimes, you see they missed something and you can go back and say, “What about this?” Give them another way they could have done it. So if there’s a
similar incident, they’ll know what to do, do it better. Not that what they did was wrong, they could do it even better though.

Participants emphasized that the type of guidance and mentoring afforded to an officer was crucial in the development of one’s leadership style and professional/personal growth.

Sergeant 4 expressed his mentoring style in this way:

Cops are a different breed when it comes to mentoring and . . . I realize that they do mentor, some of them are very good, [and] some of them will tell you [what to do]. [However] I’ve had supervisors that are mentoring you [but] not in the traditional sense, they’re doing it the cop way . . . . They’ll tell you why they’re doing things. [For example] I had one supervisor and my buddy and I we were with him . . . doing an investigation and he ordered us to go and grab the garbage from in front of this house, it was out at the curb . . . and he said go get the garbage we’re going to do an investigation, I’ll show you how we do it and we went and we grabbed all the garbage bags, threw them in the back of our car, we brought it back here and he said alright start going through it and let’s see what we get. We went through the garbage and we developed a lot of information from the garbage. . . . So that’s mentoring. . . . I mean, while you’re doing that it’s not a very enjoyable experience but he’s laughing and [we learned]. Finally sergeants’ felt that the development of leadership qualities relied on diverse and lengthy experience both deep and wide, personal and professional.

Survey data: professional development opportunities. The professional/career development survey was completed by 14 sergeants. These items provided insight into
how the police department develops leadership competencies of its sergeants. The responses from the questionnaire were analyzed using percentages and basic arithmetic.

Nine of the 14 sergeants (64%) thought that the Echo Bay police department had a formal career plan. Out of the five who thought the department did not have a formal career plan, four (80%) reported that it did not influence their decision to stay with the department.

There was a wide range of reporting as it related to the professional benefits from participating in career development activities. In order of criticality and based on the number of respondents, three types of benefits emerged as the top-three rated professional benefits—educational incentives, job rotation, and career counseling while training incentives were the least. Next to last were three activities: job enlargement, job enrichment, and self-assessment. Six (43%) of the respondents felt that there was existing policy or bargaining language that impacts opportunities to participate in any of the following activities: job rotation, career counseling, career planning, educational incentives, training incentives, job enlargement, job enrichment, and self-assessment.

Similarly, six (43%) of the respondents thought that there were financial incentives to participate in professional development activities. In speaking to influences on their decision to participate in career development, sergeants reported the development of skills for future advancement as the most critical influence, this was seconded by both the fact that it was personally rewarding and improved overall performance.

Interestingly, the sergeants reported the last influence was that financial rewards are worthwhile. Six sergeants reported job rotation opportunities as one of the reasons they remained at the Echo Bay police department. Eleven (78%) sergeants thought that career developmental activities impacted the promotional process while nine (64%)
thought participation in career development activities should impact the promotional process. Finally, seven officers (50%) experienced the professional benefits by participating in career development activities.

**Summary of findings for Research Question 3.** In conclusion, both the in-depth interviews and the questionnaire indicated that professional development opportunities and career development seem to be offered at Echo Bay police department. What seems to be at play is the fact that some of the professional development activities occurred spontaneously as part of an informal process. Wycoff (1992) spoke to this phenomenon where sergeants spent less than 11% of their time with their subordinates. This study’s findings suggest that police sergeants feel that while formal professional training is valuable that they would benefit from informal experiential training as well. This was substantiated through both conversations and observations of sergeants at work. Parallel to that Baker (2008) reported the critical training function that sergeants play in developing their supervisees. Based on the overall reporting it appeared that the sergeants agree with the importance of the training function. They spoke to the idea of having been developed through a number of means such as mentoring and shadowing, job rotation, and tuition reimbursement as a mean of incentivizing officers to be more educated. It was also clear that they engaged in development activities with their officers. They not only reported this phenomena, but this researcher observed it. In one instance, one sergeant was observed on a crime scene standing back and allowing the officer to perform the arrest without interfering or hovering over him. At the end of the contact, the sergeant performed an event autopsy, identifying what was done well and what could be improved
on. They even played a different scenario that could have necessitated different actions. The officer seemed to be pleased with the counsel from the sergeant.

The Echo Bay police department has a number of informal methods to develop officers, such as tuition reimbursement, which allows officers to take college-level classes at no expense to them. The Echo Bay Police Department has a training department, staffed with two to three full-time officers (lieutenant, sergeant, and training officer), that offers a variety of training on different topics for different groups (e.g., patrol officers, specialized officers, supervisors). However it became clear that the department relied heavily on an informal system of professional development outside of their training unit therefore standardization is lacking.

Looking at the results from the interviews all together, it becomes clear which professional development concepts were raised most frequently and how they relate to transformational leadership. The sergeants’ discussions of their leadership development experiences and their ideas about programs for developing leadership competencies provide a starting point for future directions.

Table 4.4 illustrates the relative frequencies with which all of these themes occurred in the interviews. With one possible exception, professional development opportunities are satisfactory—the most frequently occurring themes related to developing leadership competencies were the informal methods that get passed down from one generation to the next. As it seems to work and be well received among the study sergeants, this may indicate a mode in which leadership development programs would best operate.
Table 4.4

*Theme Frequencies for Research Question 3*

<table>
<thead>
<tr>
<th>Theme</th>
<th>n</th>
<th>f</th>
<th>%</th>
</tr>
</thead>
<tbody>
<tr>
<td>At least several years of experiences of diverse and relevant lead to broader knowledge and develop leadership qualities</td>
<td>8</td>
<td>21</td>
<td>15</td>
</tr>
<tr>
<td>College experience helps in policing profession</td>
<td>4</td>
<td>5</td>
<td>4</td>
</tr>
<tr>
<td>Desires for changes to current professional development opportunities</td>
<td>8</td>
<td>33</td>
<td>24</td>
</tr>
<tr>
<td>Formal Shadowing or Mentoring Program is needed / desired</td>
<td>3</td>
<td>5</td>
<td>4</td>
</tr>
<tr>
<td>Job enlargement exists</td>
<td>5</td>
<td>12</td>
<td>9</td>
</tr>
<tr>
<td>Job enrichment exists</td>
<td>2</td>
<td>2</td>
<td>1</td>
</tr>
<tr>
<td>Job enrichment is desired</td>
<td>1</td>
<td>1</td>
<td>1</td>
</tr>
<tr>
<td>Job Rotation exists</td>
<td>4</td>
<td>10</td>
<td>7</td>
</tr>
<tr>
<td>Job Rotation is desired</td>
<td>2</td>
<td>3</td>
<td>2</td>
</tr>
<tr>
<td>Leadership training for police officers is important</td>
<td>6</td>
<td>8</td>
<td>6</td>
</tr>
<tr>
<td>Satisfaction with current professional development opportunities</td>
<td>7</td>
<td>29</td>
<td>21</td>
</tr>
<tr>
<td>Task Variety</td>
<td>2</td>
<td>2</td>
<td>1</td>
</tr>
<tr>
<td>Tuition Reimbursement</td>
<td>2</td>
<td>2</td>
<td>1</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td>136</td>
<td>100</td>
<td></td>
</tr>
</tbody>
</table>

*Note.* Themes and subthemes occurred in varying frequencies and saturation across interviews. Thus, they are presented here showing both the number (n) of interviews in which they were raised and the overall frequency (f) with which they were raised. Percentages (%) are of the total number frequency of all themes and subthemes in this particular grouping.
Research Question 4

The fourth research question sought to examine what were the major perceived challenges faced by sergeants as they transition from patrol officers to first line supervisors. The researcher used interviews to answer this question. The sergeants at the Echo Bay Police Department raised nine themes that formed a picture of their perceptions of their transitions from patrol officer to sergeant and some of the challenges associated with their transition (See appendix I.). Some participants experienced this transition 10 or more years ago, while others had experienced it as recently as a month prior to the date of the interview.

Participants discussed their experiences as leaders, expressed their thoughts and wishes regarding professional development for sergeants, and acknowledged their difficulties in the transitional period. The themes from this category can be conceptualized as the qualities that either aided in the transition from patrol officer to sergeant or developed during the transitional period. Table 4.5 illustrates the challenges identified by the sergeants.

The top-two challenges for new sergeants as they transition from being a police officer to a first line supervisor were: (a) supervising former colleagues and those who had more time on the job, and (b) the lack of opportunity to develop supervisory skills prior to becoming a sergeant.
Table 4.5

*Theme Frequencies for Research Question 4*

<table>
<thead>
<tr>
<th>Themes</th>
<th>(n)</th>
<th>(f)</th>
<th>%</th>
</tr>
</thead>
<tbody>
<tr>
<td>Lack of Readiness for Leadership Role</td>
<td>4</td>
<td>3</td>
<td>6</td>
</tr>
<tr>
<td>On the Job Experience / Learning is Necessary</td>
<td>7</td>
<td>19</td>
<td>36</td>
</tr>
<tr>
<td>Patience</td>
<td>3</td>
<td>5</td>
<td>9</td>
</tr>
<tr>
<td>Supervising Former Colleagues is a challenge</td>
<td>9</td>
<td>24</td>
<td>45</td>
</tr>
<tr>
<td>Supervising staff with more job time is</td>
<td>1</td>
<td>2</td>
<td>4</td>
</tr>
<tr>
<td>Total</td>
<td>53</td>
<td></td>
<td>100</td>
</tr>
</tbody>
</table>

*Note.* Themes and subthemes occurred in varying frequencies and saturation across interviews. Thus, they are presented here showing both the number \(n\) of interviews in which they were raised and the overall frequency \(f\) with which they were raised. Percentages (%) are of the total number frequency of all themes and subthemes in this particular grouping.

**Supervising former colleagues is a challenge, supervising staff with more job time is challenging.** Perhaps the most poignant of all the challenges inherent to this particular police department is the fact that new sergeants found themselves in the position of being in charge of subordinates who, previous to their promotion, had been their peers and friends. It was noted by one interviewee that this is not the situation in all police departments and may more often be a characteristic of smaller departments.

Similarly, ambitious officers may enter their supervisory roles early or prematurely with the result that their underlings have much more on-the-job time and
experience than they have. This can work as a benefit, but it was cited in the context of participants’ perceptions of their transitions to sergeant as a challenge. The challenges of supervising former peers were described by Sergeant 8:

When [I] first became a sergeant, my toughest part was . . . you develop a lot of friends as a police officer within the department. Now you get promoted and . . . instead of being friends with these guys, you have to supervise them. Sometimes being the supervisor isn’t pleasant: you have to discipline someone and write someone up; they might lose time. Sometimes . . . you had to discipline a guy you hung out with for years and had drinks with. So I think that was the toughest thing to get over.

Sergeant 2 provided his view of the challenges of supervising more-senior officers when he said:

I definitely think that supervising . . . people with a lot of years on the job—who have significantly more than me—is a very big challenge because it’s very . . . difficult . . . because [I] know guys who have been here twice as long as me and [I am] their supervisor. It’s got to be a weird thing for them and it was a little, . . . almost intimidating when I first got promoted.

A few participants described the process of becoming a sergeant in order to provide the researcher with context as to the appointment process. A police officer at the Echo Bay Police Department has to have an earned bachelor’s degree in addition to meeting the department’s tenure requirement prior to taking the sergeants’ exam. The process begins with the officer taking the sergeants’ exam and scoring well on it. They also noted the internal process of selection was based on civil service rules which require
that a list be established and the top three scores are considered when a position becomes available. The sergeants further noted that it was common to remain on the list for up to two years. However, once you are appointed, you are immediately assigned sergeant duties and responsibilities. New York State requires that all officers appointed to the position of sergeant take a mandatory supervisory course. However, this course is offered according to a schedule that is set by a police academy (that is designated and/or accredited to give the course). For instance, a police officer can be appointed to sergeant and not be scheduled to take the sergeant’s supervisory course until several months later. A few sergeants reported that the appointment practices left little room for preparation. This is exemplified by the following reflection.

_Lack of readiness for leadership role._ Some participants recalled their transitions from patrol officer to sergeant and acknowledged that, in some way or ways, they had not been ready for their leadership roles. However, that is not to say they were ill-prepared, but that the new role was overwhelmingly different than expected. Sergeant 6 expressed it in this way:

> You feel prepared [when you first become a sergeant] but then when you get into it, you realize how little you are prepared . . . [going in.] You feel like you know what you’re going to be doing, and then when the shoe was actually on your foot . . . you feel sometimes you’re in over your head.

As a follow-up, the researcher wanted to know what the sergeants thought would help address their feelings of not being prepared or perhaps what would make the transition easier for newly appointed sergeants.
Leadership training for police officers. Leadership training for police officers was expressed as being an important component of professional development. A direct question addressed to participants introduced this idea. Most respondents felt that leadership training for police officers was important. The reasons varied. Some suggested that broadening police officers’ perspectives enables them to better understand their supervisors’ requests; others noted that police officers are necessarily leaders—and require leadership training—in their own right. Finally, some felt that leadership training should be integrated to the patrol officer experience so as to develop those who would advance through the ranks. This would ease their transition. This theme occurred eight times in six interview texts.

Formal shadowing or mentoring program. A desire was expressed among participants for formal programming of leadership instruction, especially for those who are soon to be promoted. Sergeant 8 said, “Shadowing the newly appointed supervisors [is] very, very important, and it makes the transition easier from the patrol officer who becomes the supervisor.

Summary findings for Research Question 4. The interviews pointed to the inherent conflict of becoming a former colleague’s supervisor and the difficulty associated with disciplining such person. Additionally, in a field where on-the-job experience is perceived to be so critical, sergeants reported a high level of discomfort in supervising those who may have more years of experience than they did. In reflection, they wished to have had more leadership and sensitivity training in dealing with being treated differently because of the sergeant’s stripes.
Summary of Overall Results

This research study of first-line supervisors within a police department consisted of in depth interviews, participant observation and surveys. This study attempted to answer some key questions dealing with leadership style, leadership development within this police department, and the experiences of sergeants as they transition from police officer to sergeants. The reported data were rich and nuanced. A frequency count was done within as well as among the interviews. The MLQ and two other surveys were used to collect demographic and career information. The surveys were administered to 14 police sergeants and 9 of the 14 participated in interviews. The researcher conducted observations of 3 sergeants while on duty.

The findings seem to support that transformational leadership exists at some level within the police department under study. It also appears that the leadership style of the sergeants tended to be equally transactional and transformational, as reported by the MLQ. However, the interviews as well as the observations leaned more toward the transformational, as described in this section.

Leadership development takes many forms within this police department, including a formal training course, however, there seems to be an informal set of interactions that foster leadership but yet needs to be institutionalized in order to secure the competencies needed for 21st-century policing.

The research participants reported a number of challenges during their transitions from police officers to sergeants. They were particularly concerned with supervising former colleagues and or friends as well as supervising people who may be more
experienced than they were. They felt ill prepared as their understanding of the sergeant’s job was markedly different than their experience showed as they started their new jobs.
Chapter 5: Discussion

Introduction

Research on organizational change in policing has maintained that first-line supervisors are important to the implementation of new policies. Engel and Worden (2003) found that past failures of particular strategies and structural changes were due in part to lack of support among patrol supervisors. Scholars recognize the important role that first-line supervisors play in law enforcement. First-line supervisors communicate new expectations to officers and ensure that officers meet those expectations on the street. They also facilitate implementation, provide organizational support, and exhort officers to embrace the philosophy of new policies such as community policing. Overall, however, the literature on police supervision is limited in scope. It fails to address conceptual and empirical questions regarding first-line supervisors (Engel and Worden, 2003).

This study examined the leadership behavior of police sergeants through the theoretical lens of transformational leadership Bass and Bass’ (2008) and the type of professional development opportunities made available to them. The essential research questions that guided the study were:

1. What are the self-reported and observed leadership styles and practices of police sergeants at the Echo Bay police department?

2. To what extent do police sergeants practice the tenants of transformational leadership?
3. How do police departments develop the leadership competencies of their police sergeants?

4. What are the sergeants’ perceptions of the challenges faced as they transition from patrol officers to first-line supervisors?

This chapter will provide a full interpretation of the results detailed in Chapter 4 along with implications for policymakers and administrators who impact training and professional development for law enforcement in the United States. In addition, this chapter will include a discussion on the implications of the study, it’s findings, limitations on the research, as well as recommendations for an actionable plan to improve this police department and other similar departments. Finally, a comprehensive conclusion of the entire process will be detailed to provide the reader an overview of the entire research effort.

The research questions that guided the inquiry yielded the following results. In response to Research Question 1, which examined the self-reported and observed leadership styles and practices of police sergeants at the Echo Bay police department, the MLQ revealed that the sergeants as a group were equally transformational and transactional. However, the in-depth interviews and observations were aligned with the transformational leadership findings. The transformational leadership characteristics identified were: idealized attributes, individualized consideration, inspirational motivation, idealized behavior, and model the way. This researcher further notes that the Echo Bay Police Department created an environment where mentoring, coaching, and modeling other leaders were used as a methods to develop the leadership competencies of the first-line supervisors. The finding suggests that the police sergeants used
transformational leadership behaviors to help them transition into their supervisory position. Last, the study highlighted the challenges faced by police sergeants as they transition from police officer to first-line supervisor. Sergeants revealed that their biggest struggles were finding ways to motivate and engage their subordinates and supervising former colleagues. Sergeants further indicated the need for leadership training that addressed the unique needs of police sergeants. Through the process of coding, 96 themes and subthemes were used to identify patterns of leadership among first-line supervisors. This includes their leadership behaviors and the leadership development opportunities afforded to them. Findings from this research offer a framework for the development of an actionable plan for policymakers and practitioners interested in developing leaders at all levels within a public sector institution.

Implications of Study

This case study of transformational leadership in policing establishes a framework for organizations that want to develop leaders through talent management initiatives. Talent management is the process of facilitating the development and career progress of highly talented and skilled individuals in the organization using formalized procedures, resources, policies, and processes. The talent management process focuses on developing employees for future leadership roles within the organization (Gay and Sims, 2007).

The process for career advancement in policing requires that police officers take and pass an exam to move into a ranked position (sergeant, lieutenant, captain). However, as discussed by the research participants, the position of sergeant requires skills that are not measured by a test. Therefore, when a police officer is promoted to sergeant he/she takes on a formal leadership role and inherits legitimate power within the organization. It
is this power that has been described as a great responsibility that has to be owned by the person upon whom it is being bestowed. As noted by participants, individuals have to want to take on the responsibility for themselves and their team in the role of sergeant, and that is something for which you cannot be prepared by a test. Two major implications for policy makers include the upfront cost to form a talent management system and a leadership development initiative for the 21st century. In light of current economic constraints, these investments do pay for themselves. However, the public seems to have little appetite for proactive spending in human resource management and infrastructure. This is as true for infrastructure in the form of the country’s roads, highways, and bridges as for the education and law enforcement systems.

There is a call for leadership development within police departments in order to meet the needs of the community and those of police officers so as to move officers from being transactional to transformational while keeping the community safe. The very nature of police work is transactional and often the experience occurs under less than ideal circumstances. A transformational approach will go a long way to increase the public confidence as police officers move from serving the community to partnering with it. Long term, the benefits of transformational approach augment that of the transactional model. The findings appear to indicate the following issues.

This research contributed to the discussion of policing by looking at leadership as opposed to management. The research occurred in a police department that had not had undergone such an exploratory activity. It focused in an area of the police command seldom studied but yet understood as critical to crime prevention and safe communities. The contribution was also in terms of the qualitative model as studies of leadership tend
to be quantitative leaving key and nuanced areas obscure. The research setting was a city within a suburb which has distinct characteristics. The study had a participant observation feature that enrich the in-depth interviews and allowed for a here and now analysis and cross analysis of the verbal reporting. Studies of police departments seldom include embedded researcher based on policy, risk, and the fact that outsiders are rarely permitted to watch as independent observers of police work. This researcher, as non-police officer, was observing the interaction through the lens of a community resident, a criminal justice professional, and an academic. As indicated by this study, the transition periods for police officers tended to be highly stressful as new sergeants were called to supervise former colleagues. The literature and research point to leadership development occurring at the highest level of the police command and the lack of leadership development in the lower level of the organization; it is highly desirable to provide such training to patrol officers. The literature further suggests the need for research at the sergeant’s level and this study helps fills the gap in the literature.

In the context of a highly stressful job and the need to keep order and enforce the rules, sensitivity training and effective supervision workshops are needed to deal with topics such as: motivating subordinates, employee engagement, disciplining and creating and maintaining professional boundaries. Opportunities for promotions have lessened because of budgetary reasons, which will delay appointment to sergeants and lengthen the years of experience but may be a disincentive for good police work to occur. Therefore, providing leadership development to the rank and file will enhance overall performance even as police departments make use of less formal supervisory positions. To the untrained eye police departments are mechanical and bureaucratic organizations
where the rule of law drives the behaviors of those involved, however despite this commonly held sense, police departments and more specifically police officers on a daily basis make decisions that can change someone’s life might it be the decision to arrest someone or not or to engage in a high speed chase or not. In fact, Bass (1985) seems to indicate that transactional leadership is correlated with mechanistic organizations. Subsequent studies by Singer and Singer use that proposition as their hypothesis in a study of Taiwanese companies including a police department. When using the MLQ, police sergeants were more transformational than transactional; this was different in that this study found them to be equally so. This is mediated by the fact that when looking at specific transformational and transactional factors that was not the case. The fact that these two studies provided no definitive direction as to police officers and police sergeants’ leadership styles dictates further study. The culture of organization is said to be within the control of its leader and this police department is no different.

It has been reported by Masood, Dani, Burns, and Blackhouse (2006) that a more organic culture in which the culture is termed situationally weak (meaning that subordinates have ample discretion) is the preference of transformational leaders. In police work, police officers, by virtue of their autonomy related to their work setting which is constantly changing, must be able to use reasoned judgment and discretion. Therefore a transformational leader would be preferable in the police context. While this study did not specifically address the issue of culture it is understood that culture is driven primarily by the leader. It would seem that one can deduce that this department, by virtue of its willingness to treat the community as its partner, by opening its door to this researcher coupled with the observations made, does have features that suggest that the
“situation is weak” and that it is no surprise that the sergeants were found to be more transformational than transactional. This is counterintuitive because policing tends to be bound by rules and regulations and the very nature of all police contact is transactional. That the commissioner granted this researcher access seems to be displaying one of the tenants of transformational leadership, that of transparency, or perhaps authentic leadership and its relational transparency and self-awareness (Walumbwa, Aviolio, Gardner, Wernsing, & Peterson, 2008) This is not to be confused with being a system of anarchy, where there is no order, but one of controlled chaos, where the actors are clear as to the mission, philosophy, best practices, but yet are allowed to modify implementation and execution to meet the needs of the community.

Policy implications. There are serious implications to this researcher’s findings:

1. The need for the police department to adopt a policy where appointments to the position of sergeant are done in conjunction with the mandatory supervisory training course should be recognized. In addition, making such training available more regularly may be the first step in addressing this issue. The department must recognize that a test for a supervisory position may be limiting the pool of applicants and explore other means of improving selection, in the same manner that colleges assign certain weight to SAT scores but might take in consideration extracurricular activities.

2. The department should work with the union leadership to highlight the benefits of a system that promotes based on a meritocracy as attempts are being made in education in both New York and New Jersey.
3. The department should institute an early assessment of leadership potential among officers at the two-year mark, before they become eligible to take the sergeant exam at the three-year tenure point.

4. Work collaboratively with the union will provide a number of job enlargement, job enrichment, and job rotation opportunities.

5. The way in which training is delivered should be rethought so as to include leadership, and a creative and institutionalized means to deliver solid coaching, mentoring, and tutoring should be explored.

6. A process should be developed whereby representatives of all five primary levels of management (sergeants, lieutenants, captains, chief, and commissioner) within a police department meet to discuss succession planning and draft a strategic plan to educate the rank and file in the business of policing at the tactical and strategic level.

**Limitations**

The use of a case study model was by its very nature limiting and may have the intended effect of not having a high level of transferability and generalizability. As noted in Chapter 3, the total population was 24 sergeants, 14 of the 24 took the MLQ, 9 agreed to in-depth interviews, and 3 agreed to be observed. In the context of this specific police department generalizability is possible although it should be viewed with caution. Within the police community as a whole, more caution should be exercised given that the studied population was too small and not randomly chosen so as to ensure a great degree of generalizability. In general, the design of qualitative studies tends to lessen generalizability; such research is often not intended for that purpose, but to gain a deeper understanding of a phenomena. This study provided a very textured and full
understanding of the leadership styles of the sergeants, clear data on the leadership
development process at Echo Bay and was specific as to the challenges the sergeants
confronted during their transition from police officers. It stands to reason that future
research may build on these findings by more directly exploring the leadership style of
sergeants to determine if mentoring, coaching, and tutoring are common practices and if
supervising former colleagues and disciplining supervisees and those with more
experience are areas of concern. Although this study did not lend itself to generalizability
it did support findings from studies conducted by Schafer (2009) and Singer and Singer
(1990). A mixed method approach with a larger sample size for the case study might
allow for generalizability. Further, departments of similar size, similarly situated, could
profit from the lessons of this study. Lastly, the time frame within which the study had to
be completed presented another limitation.

Delimitation. The researcher made a number of choices to get to the essential
questions and, in the process, delimited the study in a number of ways. As reported in
Chapter 3, the study took place in a suburban county that had 43 police departments. The
research context was in a suburban area; therefore, the challenges of policing in such
setting may impact the behaviors of sergeants when compared to their counterparts in
rural and urban areas. Further, the police department studied was a midsize organization,
therefore small and large police departments may have sergeants with different spans of
control and autonomy.

Due to the researcher’s inability to gain access to those police department and
time constraints for data collection, the researcher decided to use one police department
as opposed to five or six. In an effort to triangulate the data the researcher held a focus
group with sergeants from another department. However, due to time constraints this data was not reported. This delimitation resulted in a small number of study participants. There were 24 police sergeants in the department, with varied backgrounds. The gender, chronological age, marital status, years of experience as a patrol officer, experience within different sectors within policing, the educational experience ranging from a bachelor’s to a doctorate resulted in a selection of sergeants that may or may not reflect similarly situated sergeants in other police departments. Also the researcher could not assess the leadership styles of first-line supervisors across multiple departments or evaluate whether or not transformational leadership was evident in other police departments. As noted, the major interest was to explore the experiences of sergeants as front-line supervisors as opposed to the entire command structure of a police department, which would include lieutenants, captains, chiefs, and commissioners. However, this delimitation did not allow the researcher to examine to what extent did transformation leadership exists within the entire Echo Bay Police Department.

**Recommendations**

Based on the findings of this study, it would seem that police departments would be prudent to institute systems to enhance the leadership competencies of all police officers starting with patrol and up through the ranks.

**Institute a talent management program.** A formal talent management structure could improve the quality of the transition of police officers from a nonsupervisory role to sergeants. The Echo Bay Police department would benefit from a formalized talent management approach to include the following components. (a) action/experiential learning which is a process by where individuals are assigned tasks/projects to work on
for a period of time in order to develop certain skills/competencies. A 360-degree evaluation which is a survey and/or interview process designed to obtain feedback from those who work and interact with an individual on a regular basis. Typically, feedback is obtained from self-evaluation and from the individual’s leaders, peers, direct reports, and internal or external customers. An assessment is the process of reviewing and appraising employees regarding their future potential in the organization based on factors such as past performance, leadership ability, learning agility, advancement potential, advancement desire, competencies, and skill sets. Last, coaching /mentoring is a process designed to help individuals identify and achieve their professional objectives within the context of an organization’s values and goals. An early talent management identifier may go a long way to begin providing leadership development opportunities to those who may be interested as well as all officers given the new complexity of police work.

The findings suggest that the challenges raised by police sergeants, such as improving employee engagement and motivation, can be addressed by focused leadership development that incorporates a formal structure of leadership training, assessing and enhancing supervisory skills, coaching, and job enhancement. Institutionalizing these processes would ensure standardization and uniformity to a necessary aspect of work that is both unpredictable and dangerous.

**Future research.** Based on these findings it would seem that further research of first-line supervisors using a mixed-method approach would go a long way in exploring the extent to which transformational leadership practices are being utilized. Research in small and large departments capture the scope of their duties as well as determine what mechanism is used to develop sergeants would contribute greatly to the police
community. Additional research using a 360-degree feedback process, where the self-assessment of the sergeants would be triangulated with those of their supervisors, colleagues, and subordinates, would provide data to deliver targeted training and development. This may help in cutting expensive training that is offered in a diffused fashion. Research that used an experimental approach, with a pretest, a leadership training intervention, and a posttest, would aid in assessing if leadership training significantly changes the leadership capacity of those exposed to it. Using a longitudinal approach, it could be determined if those who receive a specific type of transformational leadership rise to higher command post at a higher or lower rate than those who did not. Research to determine if transformational leadership and transactional leadership have similar or different outcomes based on a police department culture would clarify the efficacy of either model. Quantitative research would be useful to measure the relationship between race, gender, and education and the extent to which these factors are predictive of their use transformational leadership. Research to explore whether the challenges confronted by the sergeants at Echo Bay are common to other police departments would be helpful.

**Conclusions**

This study contributed to the literature by presenting empirical evidence for leadership development in the public sector, specifically in policing at the sergeants’ level. According to Van Wart (2003), public administration scholars should begin to develop and test comprehensive leadership models that integrate transactional and transformational elements and that account for various situational variables inherent in the public context. Leaders need not only the traditional technical and managerial skills
of the past but also well-honed transformational competencies emphasizing mission articulation, vision, and inspirational motivation (Trottier et al., 2008a).

The researcher used the theoretical framework of the full range leadership model (Bass & Bass, 2008) to examine the leadership behavior of police sergeants. The full-range of leadership model, was developed by Bernard Bass and Bruce Avolio (1990) and includes: (a) four components of transformational leadership, (b) several components of transactional leadership, and (c) laissez-faire (or nonleadership) behavior (Bass, Riggio, 2006). This research study of first-line supervisors within a police department consisted of in-depth interviews, direct observations of sergeants on duty, and the administration of the MLQ. Out of a possible 24 sergeants, 14 volunteered to be part of the study, 9 were interviewed and 2 were observed. Gronn (1999) reported that the study of leadership tends to be focused on completing surveys and filling out questionnaires. He called for trained observers to record and report on the effects of transformational leadership. Using a qualitative approach, this researcher, through in-depth interviews and direct observations, addressed the issues raised by Gronn. As part of the researcher’s preparation she conducted a number of observations after months of cultivating relationship with the police command and familiarizing herself with the basics of police work. This included going on patrol, shooting range, and spending time at the sergeant’s desk as an observer. As the research began, the researcher took an observer/participant role so as to better understand the environment being operated in.

This study attempted to answer some key questions dealing with leadership style, leadership development within this police department, and the experiences of sergeants as they transition from police officer to first line supervisors. The study took place within a
city of a suburban county in New York State. The police department serves a racially mixed community with a wide range of economic capacity. A questionnaire was developed with both open-ended and closed questions and the interviews occurred on a one-to-one basis. A code book was developed to process the interviews, which were recorded and subsequently transcribed. A number of a priori themes were identified while some emergent ones surfaced during the analysis. The reported data were rich and nuanced. A frequency count was done within as well as among the interviews.

The findings support that transformational leadership exists within the police department under study. It also appears that the leadership style of the sergeants tended to be more transformational than transactional when one accounts for the results of the MLQ, in depth interviews and observation. Leadership development takes many forms within this police department, however, there seems to be an informal set of interactions that foster leadership but yet needs to be institutionalized in order to secure the competencies needed for 21st-century policing.

Using the matrix provided by Bass and Kouzes and Posner it was evident that the police sergeants described themselves in such a way that the key elements of these three authors’ works were being both reported and confirmed as being in practice as witnessed during the observations. An interesting finding was the fact that the concept of challenge the process did not show as a subtheme; this may be accounted for because police departments, by virtue of being a paramilitary organization, are highly structured, rule-bound, and hierarchical. Strict compliance is desired and deviations are met with severe consequences.
However, when one examines the concept of challenge the process as defined by Kouzes and Posner, it becomes apparent that element of it does exist at some level within this organization. Challenges the process happens when leaders create an environment where innovation, improvement, and growth can come to pass. The discovery of transformational leadership behavior within this predominantly hierarchal organization leads the researcher to believe that processes have been challenged. For example the paradigm shift from one form of policing strategies methods to community oriented policing service is one example. One can suggest that the evolution of the Echo Bay Police Department to a full-service police department was as a result of challenges to the status quo. Further, this police department develops needed leadership competencies within sergeant ranks by highlighting the need for practice, mentoring, a coaching approach, and learning from their superiors. The sergeants felt that a college education was helpful in professionalizing the police force. The availability of tuition reimbursement was experienced positively. They thought that job rotation, enlargement, and enrichment existed within this police department and that such processes were desirable.

Sergeants seemed to recollect the challenges of their transition as centered on not being ready and the difficulty in supervising former and more experienced colleagues. The sergeants reported needing to be more ready to be accountable for their subordinates, being authentic, and seeking advice as needed. The sergeants were satisfied with current levels of professional development but thought there could be more. A mentoring program was often suggested as one viable option for preparing sergeants as was shadowing more experienced officers. Sergeant also felt that years of diverse experiences
in different units enhance one’s knowledge and allow for a more rounded sergeant. It was also clear that a number of sergeants thought that leadership could be taught but that such had limitations. It was clear that the sergeants were committed to their crafts; that their work was complex, stressful, technical, social and transformational. They have kept the Echo Bay community safe, indeed, my community safe. They were willing to be critical, but clearly wanted to part of a learning organization. Finally, it would seem appropriate that the police commissioner should be commended for the quality and overall professionalism of his sergeants and accessing the expertise of a leadership consultant to help design a strategic plan for talent management would propel this police department into the upper strata of cutting edge police departments.
References


Appendix A: Organization Chart, Echo Bay

- Police Commissioner
  - Internal Affairs Unit
    - Deputy Police Commissioner
      - Quality Assurance Unit
        - Staff Services Division
          - Records Unit
          - Communications Unit
            - Training Unit
            - Alarm Monitoring Unit
          - Property & Evidence Unit
            - Information System Unit
              - Jail/Court Liaison Unit
          - PACT Unit
            - Best Officers
            - Youth Officers
            - Bicycle/Segway Patrol
            - Community Resources Coordinator
          - Patrol Tours
            - 1st Tour
            - 2nd Tour
            - 3rd Tour
          - Special Operations Unit
            - Critical Incident Unit
          - Traffic Unit
            - K-9 Unit
            - Harbor Unit
            - Parking Enforcement
            - City Code Enforcement
            - Fleet Management
            - Taxi Licensing
            - School Crossing
          - General Investigations Unit
            - Property Theft Unit
            - DEA Task Force
            - Special Investigation Unit
            - Forensic Unit
            - Warrant Unit
Appendix B: Sergeant Letter & Informed Consent

Dear Sergeant:

My name is Betty Campbell and I would like to invite you to be part of a research study that I am conducting. This project is part of the requirement for a Doctorate in Executive Leadership at Saint John Fisher College. My affiliation with the college as a doctoral student can be verified by contacting Dr. Claudia Edwards, Faculty, School of Education, at (914) ***-**** or by email at claudiaedwards@****.net

Police Commissioner ***** authorized your voluntary participation in this research study. Your participation in this study is entirely voluntary. You may choose not to participate without any adverse consequences. One’s decision to participate and/or not to participate will not be reported to one’s supervisor or the Commissioner. Information provided for the purpose of this study will only be reported in aggregate and in an anonymous format.

The purpose of my study is to determine the leadership behaviors of first line supervisors and to examine the extent to which police departments practice the tenets of leadership development. My research study will consist of a survey, interviews and observations. The surveys will determine the leadership style of sergeants based on the Full Range Leadership Model. An electronic version of the Multifactor Leadership Questionnaire (MLQ) will be distributed via email to the sergeants. The survey will take about 10 minutes to complete. The interviews will take no longer than one hour and will be scheduled at a time convenient for the sergeant. The in-depth interviews will examine the sergeant’s perceptions of their leadership styles and leadership development opportunities afforded to them. The field observation will allow the researcher to observe the sergeant’s in their work environment. The data collected from the in-depth interviews and field observations will be kept confidential and only be reported in an anonymous and aggregate format.

Information will be recorded by way of hand-written notes and audio recordings. Where appropriate, the information will be summarized, in anonymous format, in the body of the final report. The audio recordings will be transcribed and then destroyed immediately afterwards. At no time will any specific comments be attributed to any individual unless specific agreement has been obtained beforehand. All documentation will be kept strictly confidential. The survey instrument and in depth interviews will be coded to ensure confidentiality. All documents collected will be kept for the required period of time as specified by Saint John Fisher College Institutional Review Board. All documents will be kept in a secured cabinet.
In addition to submitting this research study to Saint John Fisher College in partial fulfillment for a Doctorate in Executive Leadership, I will be sharing my research findings with the Echo Bay Police Department. My research findings might also be used in journal articles, presentations, and publications. A copy of the final report will be stored at Saint John Fisher College and available online through Proquest. Access and distribution will be unrestricted.

You are not compelled to participate in this research study. If you choose to participate, you are free to withdraw at any time without prejudice. If you would like to participate please contact me at: bc8846sj@cnr.edu or at (914)***-****

Sincerely,

Betty L. Campbell, Researcher
Title of study: Sergeants As Leaders: A Case Study of Transformational Leadership among First-line Supervisors in a Police Department

Name(s) of researcher(s): Betty L. Campbell

Faculty Supervisor: Dr. Claudia Edwards, Chair SJFC Ed.D. Program in Executive Leadership at the College of New Rochelle
Phone for further information: (914) ***-****

Purpose of study: This study contributes to the literature by presenting empirical evidence for leadership development in law enforcement. This study will examine a specific leadership framework known as the Full Range Leadership Model which consists of transformational, transactional and laissez-faire leadership styles. The researcher will investigate: (a) the leadership styles of sergeants in a police department, (b) the sergeants’ perceptions of the extent to which they practice the tenets of transformational leadership, and (c) how do police departments develop the leadership competencies of their police sergeants?

Approval of study: This study has been reviewed and approved by the St. John Fisher College Institutional Review Board (IRB).

Place of study:

Length of participation: 5 months

Risks and benefits: The expected risks and benefits of participation in this study are explained below:

- There is no risk associated with participation.
- Expected benefits include contributing to present and future practices, augmenting current literature in the field of study.

Method for protecting confidentiality/privacy: The leadership surveys will be administered via a secured electronic website. Each participant will be assigned a number which will be associated with their demographic data. Participants will not be required to provide their names or any other data that would identify who they are.

Your rights: As a research participant, you have the right to:
1. Have the purpose of the study, and the expected risks and benefits fully explained to you before you choose to participate.
2. Withdraw from participation at any time without penalty.
3. Refuse to answer a particular question without penalty.
4. Be informed of the results of the study.

I have read the above, received a copy of this form, and I agree to participate in the above-named study.

Print name (Participant)     Signature     Date

Print name (Investigator)     Signature     Date

If you have any further questions regarding this study, please contact the researcher listed above. If you experience emotional or physical discomfort due to participation in this study, please contact the Office of Academic Affairs at 385-8034 or the Wellness Center at 385-8280 for appropriate referral.
Appendix C: Leadership Questionnaire

1. Sgt. Thoughts on Leadership

- How do you define leadership?
- What are some characteristics that you attribute to effective leadership?
- What does police leadership look like? How important is leadership in policing?
- Do you think that leadership can be taught? Why or why not?
- What are some of the leadership qualities that you possess?
- What do you think are critical leadership qualities that sergeants need to have?
- What are some of your values and beliefs surrounding leadership? How often do you discuss your beliefs and values with your subordinates?
- How relevant is leadership training for police officers?

2. Sgt. Perceptions on their own Leadership Development (opportunities provided by the organization & self directed)

- What type of career development opportunities are or have been available to you?
- Were the career development opportunities helpful? Why or Why not?
- How have you developed your own leadership skills/qualities based on the career development you have received?
- What was the single most important career advice you received when you became a sergeant and from whom?
- What leadership training did you receive before you started that you felt was helpful as you started your sergeant duties?
- Did you have a role model before you became a sergeant and what did you learn from him or her?
- Does the same person remain your role model today and why or why not?
- Did you feel prepared when you first became a sergeant? (Regardless of answer why?)
- Prioritize the professional development tools that you were exposed to as you became a new sergeant, which did you think was most effective
  a. Mentoring
  b. Coaching
c. Modeling

d. Classroom instruction

e. Job rotation

f. Tactical instruction

g. Assertiveness training

h. Job enlargement (being asked to do things that gave you a broader perspective than being an officer)

i. Spending time with a veteran sergeant

j. Management training

k. Shadowing a veteran officer

3. Sgt. Perceptions on how they develop the police officers under their span of control

- What leadership characteristics do you value and how do you communicate and/or model those values to your subordinates?
- How do you develop the leadership competencies of your subordinates?
- Do you seek / give feedback to others?
  - Can you describe a time when you had to seek out the perspectives of others (supervisor, peer, subordinate) when solving a problem.

4. Sgt. Perception on their transition from line officer to supervisor.

- Why did you become a sergeant?
- How long were you a police officer before becoming a sergeant?
- How long have you been a sergeant?
- How many officers do you supervise?
- Can you tell me about your experience as you transitioned from being a line officer to a supervisor?
- What were some of your most difficult challenges?
- What were some of the supervision challenges you faced and how did you deal with them?
- If there was one thing that you would have liked to have been taught prior to your first day as a sergeant what would it be?
- As you think about the next generation of sergeants what would you recommend that the department do to prepare them and what did you think prepared you best?
• As you think about your next job what development opportunities would you like to have prior to making the next step on your career ladder?
Appendix D: Multifactor Leadership Questionnaire

Leader Form (5x-Short)

SAMPLE QUESTIONS

This questionnaire is to describe your leadership style as you perceive it. Please answer all items on this answer sheet. If an item is irrelevant, or if you are unsure or do not know the answer, leave the answer blank.

Use the following rating scale:

<table>
<thead>
<tr>
<th>Not at all</th>
<th>Once in a while</th>
<th>Sometimes</th>
<th>Often</th>
<th>Frequently not Often</th>
</tr>
</thead>
<tbody>
<tr>
<td>0</td>
<td>1</td>
<td>2</td>
<td>3</td>
<td>4</td>
</tr>
</tbody>
</table>

1. I provide others with assistance in exchange for their efforts ........................................0 1 2 3 4
2. I re-examine critical assumptions to question whether they are appropriate .........................0 1 2 3 4
3. I fail to interfere until problems become serious.....................................................................0 1 2 3 4
4. I focus attention on irregularities, mistakes, exceptions, and deviations from standards……..0 1 2 3 4
5. I avoid getting involved when important issues arise.................................................................0 1 2 3 4
To whom it may concern,

This letter is to grant permission for the above named person to use the following copyright material:

Instrument: *Multifactor Leadership Questionnaire*

Authors: *Bruce Avolio and Bernard Bass*

Copyright: 1995 by *Bruce Avolio and Bernard Bass*

for his/her thesis research.

Five sample items from this instrument may be reproduced for inclusion in a proposal, thesis, or dissertation.

The entire instrument may not be included or reproduced at any time in any other published material.

Sincerely,

Robert Most
Mind Garden, Inc.
www.mindgarden.com
Appendix E: Demographic and Career /Professional Development Survey

CODE __________SGT_______

Demographics

1. What is your age?
   o Under 20 years
   o 20-25 years
   o 26-35 years
   o 36-45 years
   o 46-55 years
   o Over 55 years

2. What is your highest level of education attainment?
   o High School Diploma
   o Some college credits
   o Associates Degree (2 year program)
   o Bachelors Degree (4-year program)
   o Graduate Degree (MA, MPA, MSW)
   o Terminal Degree (JD, PH.D, ED.D)
   o Other: ________________________________________________

(Example: vocational schools, certificate program)

3. What is your gender?
   o Male
   o Female

4. What is your race?
   o White
   o African American
   o Hispanic or Latino origin
   o Asian
   o American Indian and Alaska Native
   o Native Hawaiian and Other Pacific Islander
   o Other ________________________________ (please specify)

5. Marital Status
   o Married
   o Single
   o Widow
   o Separated
   o Divorced
Professional/Career Development Survey

For purpose of this survey, “Professional/Career Development Program” is defined as: A formal approach taken by the organization to provide employees with opportunities to participate in a variety of developmental experiences.

1. Does your department have a formal career development program?
   - Yes
   - No

2. If yes, does it influence your decision to stay with the department?
   - Yes
   - No

3. What types of activities and/or opportunities are available for sworn officers? (Check all that apply)
   - Job Rotation: Moving to a specialized division/position for a set amount of time.
   - Job Enlargement: Taking on additional tasks.
   - Job Enrichment: Giving responsibilities previously held by a superior.
   - Career Counseling: Providing feedback regarding individual strengths and weaknesses.
   - Career Planning: Setting individual goals and strategies to meet them.
   - Self-Assessment: Identifying individual interests.
   - Educational Incentives: Receiving tuition reimbursement/compensation for attendance.
   - Training Incentives: Receiving extra compensation for training attended.
   - Other: Please list

4. Is there existing policy or bargaining language that impacts your opportunity to participate in any of the above activities?
   - Yes
   - No

5. Are there any financial incentives associated with participating in any of the above activities?
   - Yes
   - No
6. What influences your decision to participate in the above activities? (Check all that apply)
   - I find it personally rewarding
   - I feel it would improve my overall performance
   - I feel it would help develop my skills for future advancement
   - I feel it will help me find the most appropriate job for me
   - I feel the financial rewards are worthwhile
   - I do not participate

7. Does the opportunity to work in a variety of work assignments influence your decision to stay employed with the Police Department?
   - Yes
   - No
   - I don’t know

8. Do you think that career and development activities impact the promotional process?
   - Yes (go to #9)
   - No (go to #10)
   - I don’t know (go to #10)

9. How do career development activities impact the promotional process?

10. Do you think participation in career development activities should impact the promotional process?
    - Yes (go to #11)
    - No (go to #12)

11. Why do you believe participation in career development activities should impact the promotional process?

12. Why do you believe participation in career development activities should not impact the promotional process?

13. Have you experienced any professional benefits by participating in career development activities?
    - Yes
    - No

14. How long have you been employed with the Police Department?
    - 2-5 years
    - 6-10 years
    - 11-15 years
    - 16-20 years
    - Over 21
15. How long have you been a supervisor?
   - Under 2 years
   - 2-5 years
   - 6-10 years
   - 11-15 years
   - 16-20 years
   - Over 21

16. How many sworn officers do you supervise?
   - Under 10
   - 10-30
   - 31-50
   - 51-80
   - Over 80
Appendix F: Frequency count for all 96 themes relating to all four research questions.

<table>
<thead>
<tr>
<th>Theme</th>
<th># Interviews</th>
<th>Theme Frequency</th>
<th>Percent of All Responses</th>
</tr>
</thead>
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<tr>
<td>Accountable for Subordinates</td>
<td>8</td>
<td>14</td>
<td>2</td>
</tr>
<tr>
<td>Accuracy is Important</td>
<td>1</td>
<td>1</td>
<td>0</td>
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<tr>
<td>Active Listening</td>
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<td>13</td>
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<tr>
<td>Air of Authority</td>
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<td>2</td>
<td>0</td>
</tr>
<tr>
<td>Ambition</td>
<td>8</td>
<td>29</td>
<td>4</td>
</tr>
<tr>
<td>Analytical / Crit. Thinker</td>
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<td>9</td>
<td>1</td>
</tr>
<tr>
<td>Apologize</td>
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<tr>
<td>Appearance is Significant</td>
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<td>4</td>
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<td>Autonomy</td>
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<tr>
<td>Challenge the Process</td>
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<td>Common Sense</td>
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<td>Control Emotions</td>
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<tr>
<td>Disseminate Information</td>
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<td>Effective Communication</td>
<td>7</td>
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<tr>
<td>Enable Others to Act</td>
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</tr>
<tr>
<td>Encourage the Heart</td>
<td>7</td>
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<td>Equal Treatment</td>
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<tr>
<td>Extrinsic Motivation</td>
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</tr>
<tr>
<td>Fulfill Duties by Book</td>
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<tr>
<td>Guidance</td>
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<tr>
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<td>Value 1</td>
<td>Value 2</td>
<td>Value 3</td>
</tr>
<tr>
<td>---------------------------------------------------------</td>
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Appendix G: All Transformational Leadership Qualities

(Number of themes and sub-themes: 65)

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Note: Statistics for main themes are presented only for the occurrences of these themes directly in interview texts. Rather, here, they do not represent all related subthemes, but general references to the theme concepts themselves.

Themes and sub-themes occurred in varying frequencies and saturation across interviews. Thus, they are presented here showing both the number of interviews in which they were raised and the overall frequency with which they were raised. Percentages are of the total number frequency of all themes and subthemes in this particular grouping.
### Table H.1
*Sergeants’ Individual Transformational Leadership Subscale Percentile Rankings on the MLQ*

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<th>Intellectual Stimulation</th>
<th>Individual Consideration</th>
<th>Extra Effort</th>
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* No corresponding percentile range was provided in the MLQ manual for score: 99 was used for scores above the highest available percentile; 1 was used for scores below the lowest available percentile.
Table H.2

*Sergeants’ Individual Transactional and Laissez-Faire Leadership Subscale Percentile Rankings on the MLQ*

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* No corresponding percentile range was provided in the MLQ manual for score: 99 was used for scores above the highest available percentile; 1 was used for scores below the lowest available percentile.
## Appendix I: Frequency Counts for Themes Relating to Research Question 4,
### Challenges for New Sergeants

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<th>Theme Frequency</th>
<th>All Responses</th>
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<td>Not Ready for Leadership Role</td>
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<td>3</td>
<td>6</td>
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<td>Patience</td>
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<td>Provide On the Job Exp. Opportunities</td>
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