Leadership Academy for Policing
Bramshill, Hook, Hampshire RG27 0JW
Tel 01256 602300
Fax 01256 602201
Email leadershipbramshill@centrex.pnn.police.uk

www.centrex.police.uk

All rights reserved. No part of this publication may be reproduced, modified, amended, stored in any retrieval system or transmitted, in any form or by any means, without the prior written permission of the Central Police Training and Development Authority or its representative. Enquiries telephone 01256 602650

© Centrex (Central Police Training and Development Authority) 2006
Foreword – ‘Leading for those we serve’

The Police Service is almost unique amongst organisations in that everyone from the newest to the highest ranks understands that from the moment they choose to serve, they accept the leadership responsibility that goes along with that.

Leadership is not confined to supervisory or managerial ranks, nor is it confined to ‘taking command’ at times of critical need. Simply to wear the police uniform is to make public a declaration of readiness to lead. This document, therefore impacts on every member of the service, not just in the way they are trained and developed, but in the way they are expected to work on a daily basis. Similarly, it applies equally to all members of staff – police officers, police staff, community support officers, members of the Special Constabulary and members of the wider police family.

The Police Leadership Qualities Framework has been devised by Centrex on behalf of the Workforce Modernisation Board. It is the Police Service’s statement on leadership, written on behalf of the Service, based on the views of those who have first-hand knowledge of policing to assist the growth of future generations of police leaders.

Designed as a tool to help all police leaders begin, or continue to become, an effective leader it sets out, for the first time, what it is the Police Service believes about leadership in terms of its constituent elements of styles, values, ethics, standards and competences.

It lays out what each of us, whether an operational leader or a chief constable, should aspire to become in pursuit of making British policing the best in the world. As the basis for a doctrine of British police leadership, it is an extension of the Integrated Competency Framework and a means to improve the quality of British police leaders. The framework will inform leadership dimensions of a developing professional accreditation framework for the Service.

We endorse and support this document, and the principles of the Police Leadership Qualities Framework, and hope that you will take this forward in the work you do to improve standards of policing and police leadership.

Robert Quick QPM MBA
Chief Constable
ACPO Lead Workforce Modernisation Business Area

Liz Campbell
Association of Police Authorities Chair, PLQF Steering Group

Norman Bettison QPM
Centrex Chief Executive
Preface

The Police Leadership Qualities Framework (PLQF) has been devised by the Leadership Academy for Policing, Centrex, on behalf of the Workforce Modernisation Board (previously the Police Leadership Development Board).

It is the Police Service’s statement on leadership, written on behalf of the Service, based on the views of those who have first hand knowledge of policing and given back to the Service to assist the growth of future generations of police leaders.

Information has been gathered from:

• Conducting stakeholder interviews
• Focus groups of practitioners
• Research studies into police leadership
• Comparative analysis of policing competencies within the Integrated Competency Framework against other leadership frameworks
• Reviewing leadership development models in other sectors
• Reviewing academic theory about leadership in general and police leadership in particular.

The result is threefold:

i. An expanded Integrated Competency Framework, giving it a needed basis in values and qualities;

ii. A leadership doctrine for the British Police Service as a whole; and

iii. A means to develop the performance of British police leaders that has been requested by the Service itself.

PLQF is here to be used. Please use it.
Acknowledgements

This document was written and developed on behalf of the Leadership Academy for Policing, Centrex by Commander Allan Gibson, Metropolitan Police Service and Mr Peter Villiers.

Grateful thanks also go to the many who have contributed to the research and development of the PLQF, including:

Sir Keith Povey (HMIC)
Chris Fox (President, ACPO)
Robin Field-Smith (HMIC)
Kate Flannery (HMIC)
Sir Ian Blair (Metropolitan Police Service)
Sir Hugh Orde (PSNI)
Norman Bettison (CEO, Centrex)
Dick Winterton (Skills for Justice)
Patricia McFarlane (Home Office)
Martin Tiplady (Metropolitan Police Service)
Bernard Hogan-Howe (ACPO PMBA)
Dame Elizabeth Neville (ACPO)
Maria Wallace (Devon and Cornwall Constabulary)
Jenny Deere (Leadership Academy for Policing, Centrex)
Sir David Phillips (NCPE)
Ian Humphries (NCPE, Head of Doctrine)
Karen Lnas (NHS Institute for Innovation and Improvement)
James Muntie (PSU)
Liz Campbell (APA)
Bertie Woolnough (APA)
Anil Patani (West Midlands Police)
Dr Bryn Caless (Head of HR, Kent Police)
Mike McAndrew (PSAEW)
Rick Naylor (President, PSAEW)
Terry Hayden (Police Federation of England and Wales)
Julie Spence (BAWP)
Ray Powell (NBPA)
Vic Codling (GPA)
Caryl Nobbs (UNISON)
Andrew Marsten (Head of HR, Greater Manchester Police)
Neil Thompson (ICF Specialist)
Charles Phelps (Metropolitan Police Service, ICF Specialist)
Hilarie Owen (Home Office)

A number of other leadership centres and institutes were consulted, including:

- Institute for Leadership
- Defence Leadership Centre
- NHS Institute for Innovation and Improvement
- Campaign for Leadership, Work Foundation
- Centre for Leadership Studies, University of Exeter
- Leadership Research and Development Limited
- Home Office Police Leadership and Powers Unit
- Skills for Justice.
# Table of Contents

<table>
<thead>
<tr>
<th>Section</th>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td>Foreword</td>
<td>i</td>
</tr>
<tr>
<td>Preface</td>
<td>ii</td>
</tr>
<tr>
<td>Acknowledgements</td>
<td>iii</td>
</tr>
<tr>
<td>Table of contents</td>
<td>v</td>
</tr>
<tr>
<td>PLOF diagrams</td>
<td>vi</td>
</tr>
<tr>
<td>Introduction</td>
<td>1</td>
</tr>
<tr>
<td>Executive Summary</td>
<td>2</td>
</tr>
<tr>
<td>Chapter One</td>
<td>5</td>
</tr>
<tr>
<td><em>By way of definition</em></td>
<td></td>
</tr>
<tr>
<td>Chapter Two</td>
<td>13</td>
</tr>
<tr>
<td><em>The quality of police leadership</em></td>
<td></td>
</tr>
<tr>
<td>Chapter Three</td>
<td>19</td>
</tr>
<tr>
<td><em>A short history of leadership theory</em></td>
<td></td>
</tr>
<tr>
<td>Chapter Four</td>
<td>31</td>
</tr>
<tr>
<td><em>The competency approach and beyond</em></td>
<td></td>
</tr>
<tr>
<td>Chapter Five</td>
<td>37</td>
</tr>
<tr>
<td><em>Ethical and effective leadership: Culture, climate and context</em></td>
<td></td>
</tr>
<tr>
<td>Chapter Six</td>
<td>51</td>
</tr>
<tr>
<td><em>Police leadership development for the 21st Century</em></td>
<td></td>
</tr>
<tr>
<td>References</td>
<td>59</td>
</tr>
</tbody>
</table>
# PLQF Diagrams

<table>
<thead>
<tr>
<th>Diagram</th>
<th>Title</th>
<th>Page number</th>
</tr>
</thead>
<tbody>
<tr>
<td>One</td>
<td>The exercise of command</td>
<td>7</td>
</tr>
<tr>
<td>Two</td>
<td>Police leadership at five levels</td>
<td>8</td>
</tr>
<tr>
<td>Three</td>
<td>Authority and responsibility</td>
<td>9</td>
</tr>
<tr>
<td>Four</td>
<td>Work Foundation research</td>
<td>14</td>
</tr>
<tr>
<td>Five</td>
<td>Schools of leadership theory</td>
<td>20</td>
</tr>
<tr>
<td>Six</td>
<td>Leadership traits</td>
<td>21</td>
</tr>
<tr>
<td>Seven</td>
<td>Blake and Mouton</td>
<td>22</td>
</tr>
<tr>
<td>Eight</td>
<td>Hersey and Blanchard</td>
<td>23</td>
</tr>
<tr>
<td>Nine</td>
<td>Tannenbaum and Schmidt</td>
<td>24</td>
</tr>
<tr>
<td>Ten</td>
<td>Action-centred leadership</td>
<td>25</td>
</tr>
<tr>
<td>Eleven</td>
<td>Maslow’s hierarchy of needs</td>
<td>27</td>
</tr>
<tr>
<td>Twelve</td>
<td>Human attribute model</td>
<td>32</td>
</tr>
<tr>
<td>Thirteen</td>
<td>Integrated competency framework</td>
<td>34</td>
</tr>
<tr>
<td>Fourteen</td>
<td>Police leadership qualities framework</td>
<td>35</td>
</tr>
<tr>
<td>Fifteen</td>
<td>Four quadrants</td>
<td>39</td>
</tr>
<tr>
<td>Sixteen</td>
<td>Four outcomes</td>
<td>41</td>
</tr>
<tr>
<td>Appendix to Chapter Six</td>
<td>Post heroic model of transformational leadership</td>
<td>57</td>
</tr>
</tbody>
</table>
Introduction

Why do we need a leadership framework?

All police officers should appreciate that police leadership begins when they take the oath of office to become a constable. From that moment and by virtue of taking that oath each new police officer solemnly accepts authority to enforce the nation’s laws and also the accountability and responsibility that our society demands in return for such extraordinary powers. From that moment you are no longer just a citizen: by virtue of the extensive powers bestowed, you are required to exercise leadership over your fellow citizens in the community. Let there be no doubt, to wear the police uniform is to make a public declaration of readiness to lead.

Leadership is critical to policing for two simple but profound reasons. The first is the nature of our leadership role in society. The enduring primary objects of police are, as public servants, to maintain public tranquillity, uphold the law, protect and respect the rights of individuals, prevent and detect crime and help the citizen in need. These are powerful responsibilities requiring the highest standards of behaviour and integrity on the part of the police officers who discharge them.

The second reason why each of us must strive to be the best leaders we can be is that the people we lead deserve nothing less. The public we serve have a right to expect us to uphold the highest standards and to deliver the best quality of policing service we can. The staff we lead show remarkable diligence, courage, patience and commitment in performing demanding roles under pressure and scrutiny. In return they have a right to receive leadership that is competent, compassionate and principled.

These considerations apply with equal force to police staff, community support officers, and other members of the wider police family, whose actions contribute to the quality of police work and the acceptability of the Police Service as a whole to the community whom we all serve, with or without ‘sworn’ powers.

When referring to police leaders and police leadership, therefore, we include support staff and other members of the wider police family amongst those who will act as leaders and who will be perceived to play a leading role on occasion.

Each of us in the Police Service, regardless of rank, grade or role, faces this leadership challenge. How do we measure up? How can we learn and acquire the skills and values that will enable us to be the very best leaders we can possibly be?

The Police Leadership Qualities Framework has been designed to be a tool to help all police leaders to begin, or to continue becoming, an effective leader. It sets out for the first time in a single place what it is that the Police Service believes about leadership in terms of its constituent elements of styles, values, ethics, standards and competences. It lays out what each of us, whether an operational leader in the Service or a chief constable, should aspire to become in pursuit of making British policing the best in the world.
Executive Summary

Leading for those we serve

The PLQF sets out for the first time what the Police Service believes about leadership in terms of its constituent elements of styles, values, ethics, standards and competences. It lays out what each of us, whether an operational leader in the Service or a chief constable, should aspire to become in pursuit of making British policing the best in the world.

Five levels of police leadership

All police officers and staff exercise leadership at one of five levels, each of which develops into the next:

• Leading by example
• Leading others
• Leading teams
• Leading units and
• Leading organisations.

Leadership, as a term, may have different meanings depending on context. As an ‘umbrella’ term, it can embrace operational leadership, management, supervision and command. It is often consciously compared and contrasted with management. This complexity is explored in the text.

Leadership is defined as the ability to effectively influence and combine individuals and resources to achieve objectives that would be otherwise impossible.

Leadership skills are in part generic. However, policing imposes distinct demands, which we discuss in terms of:

• The constitutional and legal context, including the importance of discretion to the work of the police officer;
• The variety and complexity of the nature of police work itself; and
• The psychological and ethical pressures imposed upon its practitioners and the need for senior leadership to take them into account.

Leadership theories and studies: ICF development

Seven major theories or schools of leadership are explored and reviewed. The competency-based approach to leadership development, as represented by the Integrated Competency Framework (ICF), is analysed in terms of its merits and drawbacks.

We conclude that this approach to the analysis and development of leadership skills remains both valid and useful, provided that it is used in the appropriate way and that any instruments on which it rests are subjected to continual review and development.

The ICF is a necessary basis for further work but is not enough as it stands. The need to further develop the ICF is accepted by leading practitioners and in particular Skills for Justice, the government organisation which is responsible for the ‘guardianship’ of the ICF and with whom there has been close collaboration in planning its further development.

Through an extensive research process, three core qualities and values have been identified to sit at the centre of the PLQF. They are:

• Personal – awareness
  Outstanding leaders have high levels of personal awareness that transcends self and includes an understanding of others and how others perceive them

• Personal integrity
  Outstanding leaders possess high integrity and moral courage which inspires trust and loyalty

• Passion for achievement
  Outstanding leaders are driven by an inner desire to achieve objectives and to constantly improve.

These values are represented in the new PLQF model.

The detailed definition and validation of these values for the purpose of selection, development and assessment is still work in progress. Once completed and fully embedded in the PLQF and a bespoke new 360 degree feedback instrument, they will add a stronger values dimension to the way leaders are developed in the Service.
Ethical and effective leadership

As police leaders, we have a threefold responsibility. We serve the public; our staff; and the ideals of the service.

Efficiency and effectiveness in the delivery of predetermined goals is not enough. Ethical and effective police leadership must embody the three core values identified above. The PLQF assists in this process by:

• Categorising police work and presenting a model for good police performance as both ethical and effective;
• Reviewing the ethical frameworks that have guided policing in the past and will do so in the future;
• Establishing how to apply ethics in practice as a leader at both personal and organisational levels, with an emphasis on discretionary leadership; and
• Providing guidance on how to deal with the moral dilemmas that are an inescapable part of police work.

The way forward

There is much to be learned from the various schools of thought on leadership, but most notably from the work carried out in situational and contingency theory. Given an understanding of context, we can know what style of leadership works and what it requires of the leader.

Research shows that a democratic and transformational style of leadership is likely to be more effective than the old model of ‘command and control’ in complex organisations in a late modern society.

The implication of these two conclusions is that leadership development in the Police Service must be focused on enabling leaders to operate in a variety of styles, showing the ability to recognise when a given style is appropriate; and that they must be able to be transformational when required.

Transformational leadership

Transformational leadership is further explored and its key ingredients identified for application in the context of policing. They are:

Idealized behaviours: living one’s ideals
Inspirational motivation: inspiring others
Intellectual stimulation: stimulating others
Individualised consideration: coaching and development.

Conclusion

How does PLQF assist in improving the performance of police leaders?

1. It provides an objective and reliable body of knowledge on leadership, based on a chronicled history of leadership development;
2. It relates that knowledge to the theory and practice of police leadership, enabling police leaders to know what works and what doesn’t;
3. It lays out a developmental path for police leaders, showing how leadership changes with increased seniority, and emphasising the need for self-awareness and self-development;
4. It examines a comprehensive range of styles of leadership and enables the police leader to choose the appropriate style for the appropriate occasion;
5. It clarifies the differences between transactional and transformational leadership and enables police leaders to make use of both styles to best effect;
6. It anchors police leadership to a binding ethical framework, exploring the fundamental characteristics of integrity in the police context and placing the achievement of performance with integrity at the core of police leadership; and
7. It recognises the need for police leaders to adapt to, and to reflect, changes in our late modern and diverse society in order for them to continue to be able to police by consent.

In essence, PLQF provides:

• A further development of the Integrated Competency Framework, giving it a widely-researched basis in values and qualities;
• A leadership doctrine for the British Police Service as a whole; and
• A means to develop the performance of British police leaders that has been requested by the Service itself.
Chapter One
By way of definition
The PLQF definition of leadership

There is no single right way to ‘do leadership.’ What is right depends on a number of variables such as personal qualities, the needs of followers, the nature of the task and the context in which the leader is operating.

At the heart of leadership is influencing others, since leadership can only be practised in a social context. Leaders enable the people they lead to give of their best in pursuit of a goal, both individually and collectively. Leadership is active, not passive – it is about making the most of people and resources. The definition of leadership used by the Leadership Academy for Policing that will be referred to throughout this text is:

Leadership is the ability to effectively influence and combine individuals and resources to achieve objectives that would be otherwise impossible.

The key elements of this definition are explained below:

- **Influence** – Influence operates in a social context. This could be the culture of the police organisation or an operational or community scenario. Whatever the context, leaders must connect with those whom they lead and establish a positive relationship. With the most effective leaders, influence is closely linked to an ability to inspire others; to get them to believe that they can achieve more than they originally thought possible.

- **Combine** – Leadership is about getting people to pull together in pursuit of a common cause, about creating synergy so that the whole is greater than the sum of its parts. It is also about ensuring resources are used effectively to achieve those objectives which are deemed most important.

- **Accomplish** – Leadership is not an end in itself, it is about getting the job done; achieving the goal. The successful leader is always goal-oriented and is able to inspire those he or she leads towards the achievement of the goal. Leadership is not solely about who the leader is but also what the leader does to help the organisation to fulfill its purpose.

Command, Leadership and Management

The task of exercising control over people and resources can be described in a variety of ways. The terms command, leadership and management are in common use. These terms are often loosely defined and are in practice often used interchangeably although they convey quite different nuances of emphasis and meaning.

Are leadership, command and management different manifestations of the same thing, rather like water, steam and ice? Are management and command a sub-set of leadership? Is leadership the ‘people part’ of management and management the ‘technical part of leadership’? In policing, when we refer to command, what do we mean?

Clarity about what these terms mean in policing is needed and the following definitions are used throughout this document.

**Command**

Command is a position of authority and responsibility to which police personnel are legally appointed. Command is therefore based on positional power, authority being derived from the parameters of power granted to a person in a particular post or office. Leadership and management are the key components to the successful exercise of command. The successful exercise of command can be measured managerially against objective criteria and qualitatively in leadership terms by the willingness of those led to follow the direction given by the leader.

**Leadership**

Leadership was defined earlier as the ability to effectively influence and combine individuals and resources to achieve objectives that would be otherwise impossible. It differs from command in that the source of authority is personal, not based on position or office. The leader’s authority arises from the projection of his or her personality and character to inspire followers to achieve a common goal. There is no single right way to lead and no one style of leadership which can be guaranteed to work for all leaders in all circumstances.

Leadership involves a mix of exhortation, personal example and the exercise of command authority, dependent on the situation, to achieve a goal. Effective leaders understand themselves, the organisation, the environment in which they operate and the needs of their followers and upon this knowledge exercise leadership and decision-making.
Management

Management is one aspect of the exercise of command. Although for the purposes of analysis it can be thought of as a separate capability, in reality it is inextricably interwoven with command and leadership. Management is concerned with the efficient allocation and control of resources (human, material and financial) to achieve objectives. Management requires the exercise of specialist skills and knowledge, and the employment of structured systems and processes, to achieve efficiency, economy and effectiveness in the coordination of an organisation’s resources.

Successful managers are able to show leadership skills in their area of command. The style of management required in any given situation, like leadership, is affected by variables such as personal skills, the needs of the team and the organisational context.

Diagram One
Leadership and management as part of command

The well-equipped leader: able to manage a substantial challenge in consequence of having solid sources of authority in each of the three domains of command, management and leadership.

Generic leadership skills

Police leadership is not essentially different from leadership in almost all other spheres of activity

(Sir Ian Blair, MA, QPM, Commissioner of the Metropolitan Police Service cited Adlam and Villiers, 2003)

Different contexts bring different demands. Managing a football club, a retail store and a police command unit require different responses. They also require the fundamental leadership and management skills that are common to all activities and professions. What are those skills and abilities? In the process of establishing this framework we have investigated the core skills or competencies of a wide range of public sector organisations at the heart of modernisation and have found many skills or competencies in common.

Modernising leaders need self-confidence, self-belief and the drive to succeed. They need to be aware of their impact on others. And they need to be able to uphold the core values of the organisation that they work for under the pressure of events. Leadership in the public service is about maintaining standards under pressure, and leaders in the public service need an inexhaustible supply of moral courage.

Some police leaders, such as Sir Ian Blair, have argued that the uniqueness of police work can be exaggerated and that its leadership is not a trade secret. It is clear that police work is distinct and has features that need to be recognised and mastered if its leaders are to be effective. At the same time, those men and women need a basic competence in leadership itself, and have much to learn from comparing their experience of police leadership and its problems with leaders from other organisations.

Levels of police leadership

In the modern police service every police officer has a part to play in leadership, and this generalisation may be extended to all police staff.

- Police work is often carried out alone, by a single police officer, CSO or Special Constable serving the community. That officer often performs a leading role in the community, for example in seeking to co-ordinate community efforts to prevent crime, rather than simply to react to it once it has occurred.

- The characteristics of police work mean that much of it cannot be directly supervised. Police officers and others involved in wider policing activity must exercise individual initiative and discretion as a necessity of their profession.

- Even when operating as a member of a team, for example when policing a riot, football match or demonstration, the police officer retains the legal status of an independent officer of the law, individually responsible and accountable for his or her actions—the opposite of a soldier under military command.

Thus, a senior police officer may declare before the event in question that he or she wishes all officers to be especially vigilant about casual theft. But no police officer may be ordered by a senior officer to make a specific arrest, for example of a suspected pick-pocket. The decision to make an arrest must remain the responsibility of the officer who makes it, who will answer for those actions in court.
Leading at all Levels

The above issues illustrate well that leadership is required at all levels in the Police Service. How do these issues of autonomy and accountability fit within the hierarchical leadership structure that exists in the Service? How does the nature of the leadership exercised change at lower and higher levels? Our analysis suggests that it is appropriate to consider the exercise of leadership and management at five levels, which have been accepted and incorporated within the Leadership Academy for Policing.

Diagram Two

Police leadership at five levels of management

The first level is that of leading by example, it can also be termed operational leadership. This is the leadership exercised by a police officer or member of police staff as a representative of the Service. This level of leadership mainly focuses on encounters with the public, incidents and the management of relationships. Leadership at this initial level involves taking personal responsibility and seeks to improve the performance of individuals.

The second level is leading others. This level includes first line supervision and team leadership, as exercised for example by tutor constables, sergeants, inspectors and police staff equivalents. The performance focus is on taking responsibility for the leadership of other people not just oneself. It is about influencing others, and maintaining and monitoring standards.

The third level is leading teams. This level is about making teams efficient and effective. Team leaders set goals for their teams, cross-connect with leaders at appropriate levels in other parts of the organisation, and protect the function of their team against illegitimate interference from above and below. Leaders at this level begin to take on responsibility for projects and managerial oversight of specific areas in addition to team leadership.

The fourth level is about leading units, and involves leaders who can be designated as senior. Here the span of leadership responsibility involves several teams and is focused on performance at the level of the key delivery unit. Leaders at this level form part of senior management teams and have functional, departmental or multi-team responsibilities.

The fifth and final level is concerned with leading organisations. Reflecting recent changes in the profile of Basic Command Units and an increasing devolvement within police organisations, the threshold of this level of leadership is now deemed to be ‘independent command’ – i.e. being the person who heads the senior management team within the key delivery unit. Also included within this level of leadership are chief officer teams made up of Association of Chief Police Officer ranks and their police staff equivalents.

Leadership at this level is more complex and operates over a longer time scale. The performance focus is at the level of the whole organisation. At the same time, however, as we have shown in the diagram, all leaders, including those who lead at the strategic level, retain supervisory responsibilities for those who work directly to them.

The five stepped model in Diagram Two explains how leadership relates to performance and how the focus of activity changes at each level of management. Increasing seniority is associated with greater responsibility and complexity and this requires leaders to change the way they operate as they take on more demanding roles.

Leadership, management and supervision

Diagram Three shows that the general term ‘leadership’ can be broken down into three types of activity: leadership (setting direction, aligning people, motivating), management (planning and budgeting, organising and staffing, coordinating, performance management) and supervision (direct line-management responsibility, quality control).

Whilst we have stated that leadership is an activity which is applicable to all levels we argue that the proportion of a leader’s time spent on each area of activity changes as shown, with ‘management’ responsibilities demanding greater amounts of time as seniority increases. The weight of management responsibility can be alleviated by delegation, but although responsibility can be shared, accountability remains with the senior leader.
So, what are we to conclude? Is leadership in the Police Service different from leadership in any other sector or organisation?

We have already noted that research into leadership across professions shows that there is a remarkable degree of uniformity in what a leader is required to know and do in order to be effective. We see no reason why effective leaders cannot successfully transfer to the police sector. However, although generic leadership skills are necessary for police leadership, they are not sufficient. Leaders wishing to be effective in policing must comprehend and master its contextual challenges.

The skills, qualities and values needed in police leaders are broadly equivalent to those needed in health, education or defence. However, each profession has its own operating context and as will be described later in this text, context is a key variable in leadership.

The nature of policing requires a particular blend of leadership skills, qualities, values and styles.

“Leading for those we serve”

The title of this work is ‘Leading for those we serve’. This principle, captured from stakeholder discussions about leadership in the Service, encapsulates what defines police leadership. From this simple statement we would draw a number of conclusions.
Robert Greenleaf, founder of the Center for Servant Leadership, writes:

“The servant-leader is servant first... It begins with the natural feeling that one wants to serve, to serve first. Then conscious choice brings one to aspire to lead. He or she is sharply different from the person who is leader first, perhaps because of the need to assuage an unusual power drive or to acquire material possessions. For such it will be a later choice to serve – after leadership is established. The leader-first and the servant-first are two extreme types. Between them are shadings and blends that are part of the infinite variety of human nature.

The difference manifests itself in the care taken by the servant-first to make sure that other people’s highest priority needs are being served.. (D)o those served grow as persons; do they, while being served, become healthier, wiser, freer, more autonomous, more likely themselves to become servants? And, what is the effect on the least privileged in society; will they benefit, or, at least, will they not be further deprived?’

(The Servant as Leader, Greenleaf, 1970)

In our view, policing by consent, the need for a flexible and democratic style of leadership and an emphasis on service go together. Police leadership requires a subtle blending of the ability to exercise authority with the willingness to foster consent and endorsement for police activities, both from other agencies and the community as a whole.

1. The constitutional context

Police work takes place in a constitutional context. Its leadership requires a understanding of the underlying features of a liberal democracy and the need to apply them in policing. This applies to all roles and at all levels, for example with:

- A constable exercising powers of arrest and stop and search;
- An information technology specialist needing to consider the rights that apply, such as privacy and freedom of information, in planning a new data storage system;
- A press and public relations officer preparing for a media briefing about a missing child;
- A community relations specialist considering how to build a proper relationship with a newly-arrived immigrant community; or
- A chief officer who is reviewing policy in a particular area in the light of a new political imperative.

The proper use of discretion

As operational leaders, police constables need to understand and value operational discretion. The decision to exercise a power of arrest is an individual one, and all arresting officers have to account for their actions on an individual basis. Powers of arrest are permissive and not mandatory. All officers exercise individual judgement and cannot be forced to use their powers against their better judgment. This ability to exercise discretion is a fundamental part of British policing. When used skillfully by the operational police leader it serves to cement police legitimacy and protect society from insensitive or oppressive policing.

The potential for conflicting objectives

Senior police leaders need to recognise that policing objectives such as upholding the law and maintaining the peace can clash. When being driven in the pursuit of crime detection and reduction targets, it takes the exercise of leadership to know how best to maintain the balance between responding to the pressure of central political accountability and maintaining an appropriate style of policing which secures community confidence.

To be able to reconcile potentially conflicting objectives and demands is recognised by the current governmental reform agenda (2005), which emphasizes the need for achievement in four areas: flexibility, choice, standards and performance.

The context of policing: Five factors

‘The Police Service is first and last a practical service dealing with all classes of people and their problems. To be effective, police officers need in their make-up a large measure of humanity, practicality, and common sense. The very best type of police officer in my experience is one who remembers what he or she has been taught at school or university, who uses his or her intelligence to the utmost, and at the same time retains the common touch. The need is for the man or woman to learn every day from their policing experience on the streets and to seek to exercise good sense, professionalism and compassion in all that he or she does.’


Police leadership differs in part from leadership in other sectors and organisations, and the differentiating factors are both potent and significant. What are these factors, and how do they impact on leadership in the Service? Adlam (2004) identifies five aspects of the occupation of policing which make its leadership distinct.
2. The legal context

All governments make politico-legal changes in the unceasing drive to reduce crime and increase public security. Police leadership needs to be able to cope with a changing politico-legal environment, in which change does not necessarily flow in an orderly and logical sequence. Those who make the law, as well as those who apply it, must be responsive to changing events and pressures, as 9/11 made clear: there is now a far greater pressure for both measures and policies that will promote public safety in the age of global terrorism, that could not have been predicted before Al Qaeda's attacks. Events in London in July 2005 have reinforced this pressure.

Police leaders have to judge how to enforce the law as well as whether or not to do so. It is well known that insensitive law enforcement can have a damaging effect on police-community relations and undermine police legitimacy. The controversy surrounding the legislation to ban hunting with dogs is one recent example of the difficult balance needed to be maintained by police leaders.

3. The public sector

The police are part of the public sector, but there are significant differences between policing and other public sector activities that have especial significance for police leadership, such as the complexity of police accountability and governance and the breadth of the role of police. High levels of accountability, transparency and public participation are key defining factors for the exercise of police leadership.

The Public Good

Police leadership must be based upon a proper understanding of the idea of the ‘public good’. Whilst it is helpful to think of those who use public services as customers, consumerism is, by itself, no guarantee of the public interest. The tasks of the public domain include the balancing of interests and the search for collective values. Public sector leadership necessarily involves:

- Appreciating diversity
- Building and testing for consensus
- Managing conflict; and
- Applying a responsibility to focus scarce resources in achieving the valued ends shared by the collective.

In short, public sector leadership is especially concerned with realizing the common good. In consequence, public sector leaders are obliged to forge partnerships with collectives, communities, organisations and agencies that contribute to the common or public good.

4. The nature of police work itself

Police work is in some ways different to other work. For example, the ambiguity of fundamental purpose, the adversarial nature of certain police encounters, and the ‘management of restraint’ are recurrent features of police practice. No single feature of police work is unique. However, the combination of unusual factors, linked to the absolute need for integrity in practice under the extraordinary pressures which police work can mount, present a particular challenge to police leadership. The principles and methods which may be successfully applied in other contexts may not be transferable to policing, or may lead to unintended consequences.

“There is uncertainty about the ultimate goal. What is it? To preserve the Queen’s peace? Uphold the rule of law? Improve community relations? Help to maintain the “status quo”? All these are open to individual interpretation. In fact, police staff arguably have the vaguest of remits – to undertake a multitude of tasks but with unclear objectives; objectives which depend upon their personal interpretations of what the law, the local community or national policies appear to be looking for.”

(ACPO 1993)

This aspect of police work and the police experience demands a pattern of responses from police leaders. Leaders need to build and shape an organisational culture in which rank-and-file officers are not left feeling alienated by the conflict of objectives that their work may impose.

This challenge is faced by all who work for the police service, whether or not sworn police officers. Consider, for example the role of the duty controller in the communications room, when a ‘hot pursuit’ develops. The task of the crew of a police car in hot pursuit of a stolen vehicle cannot always be reduced to a single and simple imperative, but requires a dynamic interpretation of an evolving scenario. The crew of the car in hot pursuit has an immediate and obvious objective. The controller must see the wider picture.

5. The psychological and ethical context

On a day to day basis, police work is characterised by the:

- Need for instant decisions
- Reliance upon individual skills, judgement and initiative
- Emotional demands of policing
- Physical dangers of policing
- Influence of the police officer’s image.
"In most occupations, front-line staff have only routine, relatively unemotional contacts with other people. In contrast, police officers frequently operate in an emotionally charged environment. This can be caused by dealing with a crisis (for example a road traffic accident, a sudden death, being the victim of a crime, etc.) or, alternatively, enforcing the criminal law or responding to other ‘conflict’ situations which are themselves stressful for every one present ... To add to this, the police have close relationships with only a quarter of the population, the most deprived. It can be difficult for officers to maintain professional detachment—still less to have any measure of sympathy ... The emotional stress of policing cannot be underestimated ..."

*ACPO 1993, Pages 24 and 25*

Significantly, the authors go on to underline how, in the absence of the kinds of support system that are found in, for example, marriage guidance teams, the ‘canteen culture’ of the police ‘is given room to thrive’. In that culture, police leaders are perceived as ‘not understanding’ the circumstances and realities of ‘front-line’ policing.

Police work takes place in a psychological and ethical context. Its leadership requires a psychological understanding of the sustained impact of police work upon the mentality and personality of the staff concerned, both individually and collectively. Police leaders have to understand that staff are exposed to ethical risk and are susceptible to moral depletion and need sophisticated methods to prevent its occurrence: as we shall explore further in Chapter Five.
Chapter Two
The quality of police leadership
How good is police leadership?

The Campaign for Leadership, part of the Work Foundation, maintains a large database of profiles of leaders in the United Kingdom across all sectors. The database, now comprising over 40,000 profiles of leaders, has been built over the past few years around individual leaders and their peers and staff completing a Liberating Leadership Profiling instrument. This tool gathers self-assessment and staff/peer perception data across thirty-eight constructs which have been identified from research to be critical in effective leadership performance. The constructs include the ability to show vision, inspire staff, approachability, fairness, trust in staff and willingness to seek feedback.

Over five thousand profiles of police leaders are included on the database. A comparative analysis of the database carried out by the Campaign for Leadership as part of the research for this study revealed that police leaders compare favourably with leaders in other parts of the public sector and other sectors. The following table shows a comparison of average scores for police leaders compared with the average for the public and voluntary sectors and for all sectors in the United Kingdom.

<table>
<thead>
<tr>
<th></th>
<th>Police</th>
<th>Public &amp; Voluntary Sector</th>
<th>All UK</th>
</tr>
</thead>
<tbody>
<tr>
<td>Staff / Peers</td>
<td>226.6</td>
<td>224.8</td>
<td>222.1</td>
</tr>
<tr>
<td>Self-Assessment</td>
<td>212.5</td>
<td>207.5</td>
<td>206.8</td>
</tr>
</tbody>
</table>

From the perspective of the Service, these results are encouraging and are not consistent with a view that police leadership is of any lesser standard than that found in industry, in other services or sectors.

We can be proud of what we are, but also determined to improve. In the words of the Statement of Common Purpose and Values, to be examined in greater depth in Chapter Five, the police service recognises that it must respond to well-founded criticism with a willingness to change.

Diagram Four

Total of Average Scores Compared – Liberating Leadership Profiles

Home Office research

The desire to understand leadership and thereby to spread effective leadership more widely exists in all sectors and in all organisations. This desire has been particularly acute in the public sector over recent years and the Police Service has not been excluded. As a result of a prevailing concern to improve the quality of police leadership as a primary means of improving police performance, contemporary research has attempted to audit the current standard of police leadership and to identify the components of effective police leadership.

The Police Service is the responsibility of the Home Secretary and the Home Office. Underpinning the Police Reform Agenda has been a number of Home Office sponsored studies into police leadership and police leadership development.

1. Review of Senior Officer Training and Development (McFarlane P and Mould C HMSO 2002)

This report concerns the leadership needs of the Police Service and how they may be addressed. It identifies perceived leadership needs (the success factors of effective leaders) as:

- Vision
- Two way communication
- Visibility and accessibility
- Transparency of decision-making
- Delivery and performance management
- Empathy.

The report identifies learning and development needs by interview with 31 significant stake-holders in the Police Service and focus group discussion with a wide range of police personnel in middle and senior leadership positions, and considers current training provision and possible ways forward.

In so far as it considers the success factors of effective leaders, this report is relevant to the production of the PLQF. Furthermore, the emphasis placed on qualities such as empathy supports the argument that the Integrated Competency Framework in its current form is necessary but insufficient for the development of the complete police leaders of the future, and that an expanded ICF is necessary. Finally, synthesis of the relevant research material is needed to show that perceived leadership needs correlate in practice with improved police performance.

Leadership, as Prime Minister Tony Blair has said on many occasions, is not a popularity contest, and the fact that a style of leadership shown by a police commander is popular with his or her staff does not mean, ipso facto, that the organisation is more effective as a result.


This research was based on an interview study of 150 police officers drawn from across the rank structure to discover what they regarded as effective police leadership. The interviews were conducted using the repertory grid technique. The study also used postal questionnaires to police authority members to gain their perspective of effective leadership behaviour.
Postal questionnaires from 1,000 other police officers and police staff were used to gather data about the type of police leadership they were experiencing and its impact on their attitudes to work.

This research study identified fifty-three specific behaviours being used by police leaders which linked to effective leadership performance. The researchers compared these with constructs within Transformational Leadership and found that all but three of the behaviours correlated. Their findings also identified a range of reported behaviours amongst police leaders which were detrimental to effective performance. The balance between positive and negative behaviours was examined within the questionnaire results. The researchers found that for each positive influence which line managers could potentially have on their staff, between a quarter and a third of the group were not impacting positively.

The study did not offer benchmark comparisons for the scale of this reported counter-productive or negative leadership behaviour. Notwithstanding, the study provides a clear articulation of the scope that exists to improve leadership in the Police Service and a strong argument for developing police leaders who are more transformational in their leadership style.

Approaches to Police Leadership Development: A brief survey

Concerns over the quality of police leadership are a prevailing characteristic of both new and mature democracies. Great Britain shares in this tradition, and it is noteworthy that even the supposedly golden age of policing of the 1950s and early 1960s was not in reality the period of happy acceptance of a benevolent and well-led police service that sentimentalists would have us believe. Senior police officers such as Sir Robert Mark and Sir Paul Condon described the police service they joined as far from ideal, and there was clearly a considerable gap between the myth or fiction of policing and its reality. To understand where we are today, it is useful to briefly review the post-war history of leadership development in the Service.

The Creation of the Police Staff College

The creation of a national police college for England and Wales in 1948 — whose students were later to be joined by officers from Northern Ireland but not from Scotland, where a Scottish police college was set up at Tulliallan to cater for all Scottish police training — was a massive step forward in the development of police leadership in the United Kingdom. The college was established at Bramshill in Hampshire, and as a result became widely referred to in the service as simply ‘Bramshill’ — the terms ‘Police College’ and ‘Bramshill’ are therefore, largely synonymous in the service.

Previously, chief officers in county forces tended to be of military background, whereas the commanders of urban or ‘borough’ forces had worked their way up through the ranks under the influence of the local watch committee. However, there was no national scheme for the development of police leadership until 1948, and the approach adopted by the new college to police leadership, whilst both pragmatic and incremental in its approach, broke new ground.

The Police College (renamed the Police Staff College in 1979) saw its task as twofold. Firstly, it needed to develop the police leaders of the future, so that the police service would no longer need to look to the armed services, or indeed anywhere outside its own ranks, for its top leaders. Secondly, it saw the need to develop leadership in general within the police service and not just for its senior commanders.

Both tasks were addressed by the provision of residential command courses, laying particular emphasis on student participation by means of syndicate presentation and discussion. This method was introduced by the first commandant, Brigadier Dunn, and was modelled on the highly successful methods of instruction developed at the Army Staff College in Camberley only a few miles from Bramshill.

Over the second half of the twentieth century the Police College grew in size, scope and experience, and offered a wide range of courses for both British and overseas police officers, developing a close relationship with both the (then) RUC and the Royal Hong Kong Police. In 1962 the Special and Senior Command Courses were first offered and their successors continue today. Bramshill promoted both university scholarships and fellowship programmes to encourage higher education amongst police officers, a development which was much welcomed. (The 1962 Royal Commission on the Police could find no recent instance of a university graduate joining the Police Service: a very strong contrast to the situation today, when graduates number about 20 per cent.)

In summary, Professor Robert Reiner was able to remark in his seminal study of the development of leading police officers in the British Police Service (1991) that the membership of ACPO (the Association of Chief Police Officers) was the product of Bramshill, since its members must have completed the Strategic Command Course, and many had attended a range of command or specialist courses at the Police Staff College.

A model for leadership development in its time

The creation of a national police staff college was admired elsewhere, and its American supporters (Souryal, 1976) wished that the United States would create a similar institution. America, according to Souryal, had no equivalent to a police staff college, although the FBI Academy at Quantico does provide leadership training for police officers. Souryal described Bramshill as ‘a unifying alma mater, a
leadership concept, and a state of mind,’ and as providing British police officers with ‘a sense of security, dignity, belonging and achievement’.

**Leadership studies**

The Police Post-War Reconstruction Committee’s 1946 report made a number of recommendations for the curriculum of the new Police College, including the need for ethics to be placed at its core. It did not set out either to create or recommend a doctrine of leadership as such, and there was no nationally agreed template for leadership or list of leadership qualities to be promoted in any case. The approach to leadership development that was adopted was a pragmatic one, its emphasis upon professional skills being supplemented by broader educational aims as academic tutors with backgrounds in subjects such as law, sociology, psychology and economics joined a directing staff that had been originally the province of police officers alone.

New developments in leadership training took place to match what was going on elsewhere, including the equivalent of ‘Outward Bound’ training and the era of linked personal and professional development which had begun with ‘T Group’ training in the USA after World War II, and then crossed the Atlantic. The Special Course (later to become the Accelerated Promotion Scheme, and currently the High Potential Development scheme) and other courses delivered at Bramshill experimented in the new era of self-awareness and self-development with mixed success.

In 1994 the Home Office created a new central police training body, National Police Training, which encompassed the functions of the Police College and other national sites delivering police training (such as initial probationer training, and trainer – training). This led to significant changes at the College. Educational philosophy was changing; and at the same time there was a new national emphasis on the need for economy and efficiency in the public service. Police forces were increasingly disinclined to send the majority of their senior officers on a succession of lengthy and residential command courses for the long-term benefit that this might achieve, when there was a more immediate need for their services in force.

At the same time, it must be noted that the College staff themselves were aware of the changing needs of the Police Service and its leadership, so that the work carried out by Home Office research staff as to the quality (and qualities) of police leadership was not unique.

Qualitative inquiry into police leadership was undertaken by the civilian tutorial staff attached to the National Police Leadership Faculty (later, Centre) at Bramshill who, through their close contact with the senior ranks developed a picture of its modal leadership style(s). From this analysis, police leadership was seen as overly prescriptive, inappropriately traditional, expedient, pragmatic and deeply influenced by the mores of an insular police culture (see, for example, Pope and Weiner, 1981, Thackrah, 1985 and Adlam, 2001).

National Police Training was succeeded by the creation of the Central Police Training and Development Authority (Centrex). For Centrex, the College at Bramshill was simply one site amongst seven, if still retaining an historical and world-wide reputation. Centrex’s emphasis is upon the development of police leadership throughout the Police Service, to an agreed template or competency framework, by national means. New courses render leadership training more accessible to women and ethnic minorities. All programmes, which are continually modernised, adapted and updated, are linked to the Integrated Competency Framework and its emerging successor, the PQLF. Leadership development will increasingly be based on doctrine rather than a relatively haphazard process of development.

**Management Charter Initiative and Competence Model**

The notion of identifying, assessing and developing ‘management competences’ developed in the late 1970s and early 1980s with the work of McBer consultants working to the American Management Association. The aim of their work was to explain differences in managerial performance by identifying differences in certain competences displayed. The approach has quickly become mainstreamed and organisations in all sectors have developed competency frameworks for their business or collaborated to develop them for their sector. The Government has seen competency frameworks as a key factor in improving leadership/management capability in public services.

Global initiatives in leadership and management development were reflected in national police training, including the beginning of the move towards a competency-based approach to leadership development in the police service.

Initially, and prior to the evolution of specific police competences, the general framework provided by the Management Charter Initiative suggested a model of police management and leadership effectiveness (Adlam, 1997, 1999). At the same time, research conducted by the extended interview (EI) staff led to the construction of a model of competences for police leaders (Alnutt, 1997). The eight competencies (such as ‘strategic perspective’ and ‘achievement orientation’) formed the basis for the selection and subsequent assessment of the ‘fast-track’ officers as well as the Strategic Command Course.
The emergence of a national competency framework

Meanwhile, Wigfield and his colleagues gradually fashioned a model ‘for the competency of leadership’ in one police force, Sussex (Wigfield et al. 1998). Eleven police leadership competencies were identified and organised into four categories. The competencies included:

• ‘Professional and ethical standards’
• ‘Managing and developing people’
• ‘Strategic awareness’ and
• ‘Creativity and innovation’.

In 1999 a national project began to develop a competency framework for the whole Police Service. Home Office Circular 42 of 2002 was drafted and published in order to inform the Police Service that “the behavioural competences in the national competency framework (NCF) now replace” earlier initiatives. The NCF has since evolved into the Integrated Competency Framework, following work undertaken by the (then) Police Skills and Standards Organisation (now Skills for Justice) to merge the NCF, the National Occupational Standards (NOS) for the Criminal Justice Sector and the national Performance and Development Review (PDR) process.

The 2002 circular required all forces to incorporate the competency framework into their personnel systems, and highlighted its function in relation to selection and promotion, development and performance management as well as workforce planning. It asserted that a behavioural competency framework ‘has been built and validated for all ranks and civil or support staff levels across the organisation’.

The police competencies were aggregated into three areas:

• Leadership
• Working with others
• Achieving results.

Behaviours associated with ‘strategic perspective’, ‘openness to change’, ‘negotiating and influencing’ and ‘maximising potential’ were subsumed within the ‘leadership’ category.

The ICF is now well understood and widely used throughout the Police Service. However, there are gaps in its coverage that need to be resolved. That is part of the reason for this document, which includes suggestions as to a way forward.

Before we examine the ICF in detail, however, we need to briefly review the development of leadership theory and thus set competency frameworks in context.
Chapter Three
A short history of leadership theory
The need for an historical perspective

The practice of leadership appears to be as old as the human race itself. History, anthropology, literature and myth tell us that groups of human beings have always had leaders, although those leaders have not always emerged from the same background, nor practised the art of leadership in the same way.

The study of leadership is a more recent development, and can be divided into various schools of thought. To understand how these various schools of thought have developed over time, how they relate to each other, and how to synthesize the results to best advantage, is helpful for the effective practitioner of leadership.

Survey of leadership theory

(This survey is based upon the overall framework developed by the Centre for Leadership Studies at Exeter University by Bolden et al (2003). We are grateful for their permission to make use of the framework here, with additional comments and material.)

A review of the leadership literature reveals an evolving series of ‘schools of thought’ from “Great Man” and “Trait” theories to “Transformational” leadership and beyond (see diagram five). Whilst early theories tend to focus upon the characteristics and behaviours of successful leaders, later theories begin to consider the role of followers and the contextual nature of leadership.

Great Man Theories
Based on the belief that leaders are exceptional people, born with innate qualities, destined to lead. The use of the term ‘man’ was intentional since until the latter part of the twentieth century leadership was thought of as a concept that is primarily male, military and Western. This led to the next school of Trait Theories

Trait Theories
The lists of traits or qualities associated with leadership exist in abundance and continue to be produced. They draw on virtually all the adjectives in the dictionary which describe some positive or virtuous human attribute, from ambition to zest for life

Behaviourist Theories
These concentrate on what leaders actually do rather than on their qualities. Different patterns of behaviour are observed and categorised as ‘styles of leadership’. This area has probably attracted most attention from practising managers

Situational Leadership
This approach sees leadership as specific to the situation in which it is being exercised. For example, whilst some situations may require an autocratic style, others may need a more participative approach. It also proposes that there may be differences in required leadership styles at different levels in the same organisation

Contingency Theory
This is a refinement of the situational viewpoint and focuses on identifying the situational variables which best predict the most appropriate or effective leadership style to fit the particular circumstances

Transactional Theory
This approach emphasises the importance of the relationship between leader and followers, focusing on the mutual benefits derived from a form of ‘contract’ through which the leader delivers such things as rewards or recognition in return for the commitment or loyalty of the followers

Transformational Theory – and beyond?
The central concept here is change and the role of leadership in envisioning and implementing the transformation of organisational performance
The Great Man

The Great Man approach to leadership has had a very long innings, but it is time for the umpire to declare it out. We may have various things to learn by studying the lives, thoughts and actions of great men and women, but we shall not learn the secret of leadership itself, for each great person is unique. This approach to the study of leadership may provide vivid examples of victory and disaster, but does not lead to the development of a usable and consistent body of knowledge, by means of which leadership can be practised throughout organisations.

The Trait Approach

The Trait Approach arose from the “Great Man” theory as a way of identifying the key characteristics of successful leaders. It was believed that critical leadership traits could be identified and that people with such traits could then be recruited, selected, and installed into leadership positions. This approach was common in the military.

Stogdill (1974), the pre-eminent researcher in this field, attempted to distinguish between traits and skills.

Although there was little consistency in the results of the various trait studies, some traits (or skills) appeared more frequently than others, including: technical skill, friendliness, task motivation, application to task, group task supportiveness, social skill, emotional control, administrative skill, charisma, and intelligence.

Some of the traits or skills that were identified, such as the capacity to be co-operative, dependable and tactful, may be desirable in both leaders and followers. They might even be described as generally desirable characteristics for anyone who wishes to participate successfully in a disciplined work environment. On the other hand, Stogdill recognised the importance of decisiveness, persistence, self-confidence, tolerance of stress and willingness to assume responsibility, which might be seen as classic leadership traits.

### Diagram Six
*The main leadership traits and skills identified by Stogdill*

<table>
<thead>
<tr>
<th>Traits</th>
</tr>
</thead>
<tbody>
<tr>
<td>Adaptable to situations</td>
</tr>
<tr>
<td>Alert to social environment</td>
</tr>
<tr>
<td>Ambitious and achievement-orientated</td>
</tr>
<tr>
<td>Assertive</td>
</tr>
<tr>
<td>Cooperative</td>
</tr>
<tr>
<td>Decisive</td>
</tr>
<tr>
<td>Dependable</td>
</tr>
<tr>
<td>Dominant (desiring to influence others)</td>
</tr>
<tr>
<td>Energetic (high activity level)</td>
</tr>
<tr>
<td>Persistent</td>
</tr>
<tr>
<td>Self-confident</td>
</tr>
<tr>
<td>Tolerant of stress</td>
</tr>
<tr>
<td>Willing to assume responsibility</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Skills</th>
</tr>
</thead>
<tbody>
<tr>
<td>Clever (intelligent)</td>
</tr>
<tr>
<td>Conceptually skilled</td>
</tr>
<tr>
<td>Creative</td>
</tr>
<tr>
<td>Diplomatic and tactful</td>
</tr>
<tr>
<td>Fluent in speaking</td>
</tr>
<tr>
<td>Knowledgeable about group task</td>
</tr>
<tr>
<td>Organised (administrative ability)</td>
</tr>
<tr>
<td>Persuasive</td>
</tr>
<tr>
<td>Socially skilled</td>
</tr>
</tbody>
</table>
The results of the trait studies were inconclusive. Traits, amongst other things, were hard to measure. How, for example, is it possible to measure traits such as honesty, loyalty, or diligence? Another approach in the study of leadership had to be found.

After the publication of the late Douglas McGregor’s classic book *The Human Side of Enterprise* in 1960, attention shifted to ‘behavioural theories’. McGregor’s Theory X & Theory Y Managers’ strategy of effectively-used participative management had a tremendous impact on both leadership and management, and in this case the words leader and manager seem equivalent. The most publicized concept is McGregor’s thesis that leadership strategies are influenced by a leader (or manager)’s assumptions about human nature. As a result of his experience as a consultant, McGregor summarised two contrasting sets of assumptions made by managers in industry.

**Theory X managers believe that:**

- The average human being has an inherent dislike of work and will avoid it if possible.

- Because of this human characteristic, most people must be coerced, controlled, directed, or threatened with punishment to get them to put forth adequate effort to achieve organisational objectives.

- The average human being prefers to be directed, wishes to avoid responsibility, has relatively little ambition, and wants security above all else.

**Theory Y managers believe that:**

- The expenditure of physical and mental effort in work is as natural as play or rest, and the average human being, under proper conditions, learns not only to accept but also to seek responsibility.

- People will exercise self-direction and self-control to achieve objectives to which they are committed.

- The capacity to exercise a relatively high level of imagination, ingenuity, and creativity in the solution of organisational problems is widely, not narrowly, distributed in the population, and the intellectual potentialities of the average human being are only partially utilized under the conditions of modern industrial life.

A leader holding Theory X assumptions would prefer an autocratic style, whereas one holding Theory Y assumptions would prefer a more participative style.

Diagram Seven

Another framework in the same style: ‘The Blake Mouton Managerial Grid’ (Blake & Mouton, 1964), which achieved a widespread usage, including amongst students of police leadership; it is referred to in William Ker Muir’s classic study of policing (Ker Muir, 1977).

The Managerial Grid developed by Robert Blake and Jane Mouton focuses on task (production) and employee (people) orientations of managers, as well as combinations of concerns between the two extremes. The grid shows concern for production on the horizontal axis and concern for people on the vertical axis and plots five basic leadership styles. The first number refers to a leader’s production or task orientation: the second, to people or employee orientation. Thus, one of Ker Muir’s police officers could refer to a police lieutenant as being ‘a real 9.1’— in other words, totally concerned for production rather than people, and running his system on the principles of authority and obedience.

Blake and Mouton propose that ‘Team Management’ (9.9), a high concern for both employees and production, is the most effective type of leadership behaviour.
Situation or Contingency Theory

Behavioural theories give little guidance as to what constitutes effective leadership in different situations, whereas most researchers today conclude that no one leadership style is right for every manager or leader under all circumstances. Instead, contingency-situational theories have been developed to indicate that the style to be used is contingent upon such factors as the situation, the people, the task, the organisation and other environmental variables. The major theories contributing towards this school of thought are described below.

Fiedler’s Contingency Model

Fiedler’s contingency theory postulates that there is no single best way for managers to lead. Situations will create different leadership style requirements for a manager. The solution to a managerial challenge is contingent on the factors that impinge on the situation. For example, in a highly routine (mechanistic) environment where repetitive tasks are the norm, a relatively directive leadership style may result in the best performance. However, in a dynamic environment a more flexible, participative style may be required.

Fiedler looked at three factors affecting a managerial task:

1. Leader member relations: How well do the manager and the employees get along?
2. Task structure: Is the job highly structured, fairly unstructured, or somewhere in between?
3. Position power: How much authority does the manager possess?

Positioning power measures the amount of power or authority the manager perceives the organisation has given him or her for the purpose of directing, rewarding, and punishing subordinates. Fiedler found that managers (leaders) tend to favour either task before team, or vice versa. “He was sceptical that the same leader can operate successfully in radically different environments. He therefore suggested that either the leadership changes when the context changes or the leader acts to change the context such that his or her style becomes appropriate... Aside from relegating the utility of people-orientated leaders to a minimal role, there is increasing doubt as to the empirical rigour of this approach.” (Bolden et al, op cit.)

Diagram Eight

The Hersey-Blanchard Model of Leadership

This model also takes a situational perspective of leadership. It posits that the developmental levels of a leader’s subordinates play the greatest role in determining which leadership styles (leader behaviours) are most appropriate. The theory is based on the amount of direction (task behaviour) and socio-emotional support (relationship behaviour) a leader must provide given the situation and the ‘level of maturity’ of the followers.

- Task behaviour is the extent to which the leader engages in spelling out the duties and responsibilities to an individual or group. This behaviour includes telling people what to do, how to do it, when to do it, where to do it, and who is to do it. In task behaviour, the leader engages in one-way communication.

- Relationship behaviour is the extent to which the leader engages in two-way or multi-way communications. This includes listening, facilitating, and supportive behaviours. In relationship behaviour, the leader engages in two-way communication by providing socio-emotional support.

- Maturity is the willingness and ability of a person to take responsibility for directing his or her own behaviour. People tend to have varying degrees of maturity, depending on the specific task, function, or objective that a leader is attempting to accomplish through their efforts.
In summary, therefore leader behaviours fall along two continua:

**Directive Behaviour**
- One-Way Communication
- Followers’ Roles Clearly Communicated
- Close Supervision of Performance

**Supportive Behaviour**
- Two-Way Communication
- Listening, providing support and encouragement
- Facilitate interaction, involve follower in decision-making

For Hersey and Blanchard the key situational variable, when determining the appropriate leadership style, is the readiness or developmental level of the leader’s subordinate(s). As a result, four leadership styles result:

**Directing:** The leader provides clear instructions and specific direction.

**Coaching:** The leader encourages two-way communication and helps build confidence and motivation on the part of the employee, although the leader still has responsibility and controls decision making.

**Supporting:** With this style, the leader and followers share decision making and no longer need or expect the relationship to be directive.

**Delegating:** This style is appropriate for leaders whose followers are ready to accomplish a particular task and are both competent and motivated to take full responsibility.

**Tannenbaum & Schmidt’s Leadership Continuum (1958)**

Contingency theorists Tannenbaum and Schmidt suggested that leadership behaviour varies along a continuum and that as one moves away from the autocratic extreme the amount of subordinate participation and involvement in decision taking increases. They also suggested that the kind of leadership represented by the democratic extreme of the continuum would be rarely encountered in formal organisations.

Four main leadership styles can be located at points along such a continuum:

**Autocratic:** The leader takes the decisions and announces them, expecting subordinates to carry them out without question.

**Persuasive:** At this point on the scale, the leader also takes all the decisions for the group without discussion or consultation but believes that people will be better motivated if they are persuaded that the decisions are good ones.

**Consultative:** In this style, the leader confers with the group members before taking decisions and, in fact, considers their advice and their feelings when framing decisions. The leader may not always accept the subordinates’ advice but they are likely to feel that they can have some influence.

**Democratic:** Using this style the leader would characteristically lay the problem before his or her subordinates and invite discussion. The leader’s role is that of chair rather than that of decision taker. He or she will allow the decision to emerge out of the process of group discussion.

Tannenbaum and Schmidt perceived the need for leaders and managers to vary their intervention style according to the demands of the situation. They also succeeded in reducing the complexity of leadership by identifying three sets of forces that needed to be considered prior to adopting any intervention style. They are:

- Forces in the leader (him or herself);
- Forces in the subordinates; and
- Forces in the situation.

Schein (1988) provides a succinct summary giving some examples of the constituent aspects of these three ‘forces’. 

Schein (1988) provides a succinct summary giving some examples of the constituent aspects of these three ‘forces’.
• “Examples of forces in the leader are his [sic] value system, his confidence in the group, his own natural inclinations or style, and the security he feels in the situation.  
• Examples of forces in the group are their prior experience in making decisions, their actual competence, their tolerance for ambiguity, their ability to become involved in the problem, and their expectations and need for growth.  
• Examples of forces in the situation are the amount of time pressure, the type of problem to be solved, and the type of organisation in which the process is occurring.”

Tannenbaum and Schmidt’s model in many ways anticipates the framework constructed by Adair (1983), who stressed the need for leaders to approach leadership as a threefold task. Their work drew attention to the social encounter between leader and follower(s). This paved the way for a sustained analysis of the dynamics involved in this relationship.

The dynamic relationship between leaders and followers
Livingston (1969) asserts that leaders who have genuine confidence in their own ability to develop and stimulate followers to high standards of performance will expect much of those followers and will treat them in a manner that is commensurate with this confidence. The subsequent work of Bennis and Nanus (1985) can be linked directly to Livingston’s thesis. Bennis and Nanus underline how ‘self-esteem’ is a crucial factor in the follower’s ability to be successful.

The characteristics of successful leaders
This focus on the ‘psychology’ and interpersonal behaviour of the leader occasioned Pfeiffer (1991) to provide a summary of the characteristics that most researchers believe successful leaders have in common. Those characteristics are:

• A belief in their ability to develop the potential of their followers and the provision of the appropriate amounts of direction and support that the followers need in order to be successful;  
• An ability to establish and communicate goals that are challenging, realistic and attainable;  
• Positive assumptions about the potential of others – an ability to see them as ‘winners’;  
• A commitment to excellence and a genuine, intense enthusiasm for what they and others do; and  
• A focus on the human aspects of the task in addition to a focus on procedures, conceptual frameworks and technology.

Pfeiffer’s summary reflects the increasingly sophisticated understanding of what outstanding or exemplary leaders actually do as they interact with those around them. It resonates with the conclusions provided by both Kouzes and Posner (1987) and Kinlaw (1989).

Kouzes and Posner underline the fact that exemplary leaders are ‘expressive’. They let others know that their efforts are appreciated and they are proud of their achievements. Kinlaw (1989) presents a similar set of conclusions following his studies that, _inter alia_, revealed the practices of ‘superior leaders’. He believes that superior leaders share six sets of common practices. These are:

• Establishing a vision;  
• Stimulating people to gain new competencies;  
• Helping people to overcome obstacles;  
• Helping people to overcome failure;  
• Leading by example; and  
• Including others in their success.

Kinlaw’s list indicates the very high degree of overlap that exists in applied behavioural science on the constituent elements of effective leader behaviour. We shall return to this work when concluding our survey, with the acknowledgement that at least part of our knowledge of what ‘works’ in leadership could best be described as both eclectic in its range and incremental in its development.

We are also aware that the classic lessons of the past about leadership must be neither forgotten nor neglected. In this context, the work of Professor John Adair may be mentioned as fitting very broadly under the heading of contingency or situational leadership.

**Diagram Ten**
**Action-centred leadership**
John Adair, an icon in leadership studies, sought (1983) for a way to show the complexity of the leader’s task and the interrelatedness of its elements. His solution was a Venn diagram, identifying the threefold essential obligations the leader faces:

A To achieve the task
B To build the team
C To develop its individuals.

Failures in leadership
Leaders who concentrate on only one of these three obligations, or even on two out of three, are failing to address the threefold task of the leader in a balanced way. They may achieve some success in the short term, but their leadership will fail over time.

So-called ‘charismatic’ leaders may be particularly prone to fail: they do not attempt to develop their own successors, since they are by definition irreplaceable.

Leadership as tough or tender-minded, or whether it is better to be feared than loved
(Machiavelli, The Prince)

Even the most open-minded and caring leader may fail to address a key element of leadership. For example, the ‘caring’ leader may be mainly or solely concerned to address welfare or ‘hygiene’ issues. This may be because they so wish to be liked by their followers that they fail to pay sufficient concern to the task in hand. Such leaders may in the end be despised as soft, rather than liked and admired as caring. This issue was reviewed by Machiavelli in his advice to the ruler, as follows:

“One should like to be both one and the other, but since it is difficult to join them together, it is much safer to be feared than to be loved when one of the two must be lacking.”

Machiavelli went on to distinguish between fear and hatred:

“A prince must nevertheless make himself feared in such a manner that he will avoid hatred, even if he does not acquire love.”

In Machiavelli’s trenchant and provocative view, it is possible to sustain fear as a basis for obedience, but not kindness, which he regards as a commodity for which there is an inelastic demand. The more the leader concentrates on being kind, the more the followers expect, so that in the end the leader must fail as a leader and will be overthrown. This is a paradoxical reversal of the more conventional assumption that cruel and tyrannical leaders sow the seeds for their own overthrow, and is still a highly controversial view.

If we substitute ‘tough-minded’, ‘determined to succeed’, or even ‘capable or being ruthless when the occasion requires it’ for the phrase ‘cruel and tyrannical’, however, then we must acknowledge that Machiavelli’s analysis and recommendation is far from out of date. Leaders cannot always be kind, and one of the most important aspects of self-knowledge is the need to know when one is being kind, compassionate or caring simply in order to be popular, liked or admired.

Transactional leadership

Transactional leadership is the odd person out in our review of leadership theory, in that it is a school of thought defined by its opposite, transformational leadership – which we shall go on to explore.

Just as there is no ‘school’ of transactional leadership, so there are no textbooks that tell one how to become a transactional leader. Transactional leadership was a phrase first used by the student of transforming leadership, James MacGregor Burns, in his magisterial opus on leadership (1977). Burns studied leadership in the political arena, using a range of academic disciplines to do so. In his view:

“Pragmatic, transactional leadership requires a shrewd eye for opportunity, a good hand at bargaining, persuading, reciprocating…”

(Burns, Leadership, Page 169)

It would be difficult to argue that these are not both necessary and desirable skills for police leaders. They are not, however, sufficient for leadership in its fullest sense: and a leader may be so practised in their use as to fail to see the opportunities for moral elevation that true leadership presents.

Having said that, let us not be too high-minded about transactional leadership. Burns regarded transforming or transformational leadership as an exceptional form of the normal practice of reform leadership, which is transactional. Transactional leaders bargain with their followers. They negotiate, promise, cajole and barter. Leadership is a
transaction, in which the leader supplies what the followers want, or think that they want, and they provide what he or she wants in return.

To vote for a candidate who promises to lower taxes is a clear example of transactional leadership, if we assume that most people, other things being equal, would prefer lower taxes. The candidate may be honest enough to admit that lower taxes may mean less revenue, so that the state will no longer be able to provide the level or services to which the voter has become accustomed. Given such an admission, the transaction has become more sophisticated, but remains a transaction. As Burns puts it (op cit, page 19):

“Each party to the bargain is conscious of the power resources and attitudes of the other. Each person recognises the other as a person. (emphasis in original.) Their purposes are related, at least to the extent that the purposes stand within the bargaining process and can be advanced by maintaining that process. But beyond this the relationship does not go. The bargainers have no enduring purpose that holds them together; hence they may go their separate ways. A leadership act took place, but it is not one that binds leader and follower together in a mutual and continuing pursuit of a higher purpose.”

There is much to be said for transactional leadership, provided that the bargaining process is based upon an open and honest exchange of information. Both parties are, or certainly should be, treating each other as adults, on the basis of shared norms and values, at least as far as the transaction is concerned; and the result should be what games theorists would call a win-win situation.

As Burns recognised, transactional leadership caters for what Maslow (see Diagram Eleven) would have regarded as lower-order needs in his hierarchy of needs. They are needs nevertheless, and worthy of respect.

Maslow’s hierarchy of needs

In Maslow’s scheme, lower-order needs such as food, warmth and shelter must be satisfied before higher order needs can be addressed. Hence Lenin’s appeal as a revolutionary leader in 1918. He did not promise the starving, war-weary Russian peasants and industrial workers that he would provide them with communism. He promised them bread. Lower order needs can be met, and once met, they are no longer an issue. We can only eat so much bread. Once lower-order needs have been satisfied, we move on to higher-order needs. The highest need, in Maslow’s scheme, is the need for self-actualisation: the need to satisfy one’s potential as a human being. This can be addressed but never fully satisfied.

Diagram Eleven

Maslow’s Hierarchy of Needs

Transformational leadership

“More important than charisma, bearing or interpersonal skills is the secret ingredient of leadership: the ability to convey a sense of vision and mission in a way that transforms and enhances the followers’ sense of the possible.

• Leaders motivate their followers to:
  • Transcend self-interest for the sake of organisational goals and values
  • Raise the level of need from safety and security to self-esteem or autonomy
  • Share with the leader the importance of the leader’s goals or values to the future of the organisation.

In the process, leaders motivate followers to achieve more than they thought possible, strengthen their commitment to the organisation, and induce feelings of trust, admiration, loyalty, and mutual respect.”

James MacGregor Burns (1978)
Leadership

James MacGregor Burns is the pioneer of the extraordinarily influential model of transformational leadership associated with his name. As with all pioneers his work has been taken on and developed by others, in some cases beyond his original viewpoint.

In essence, his model of leadership is one in which the leader addresses the higher-order needs of his or her followers, as outlined in Abraham Maslow's hierarchy of needs.

The relevance of Burns' model to police leadership will be further explored in our final chapter, in which we shall also consider how this theory can be applied on an everyday basis to the myriad of tasks that confront the Police Service. In the meantime, let us compare and contrast the transactional and transformational approaches to leadership in summary.

Our argument, to be summarised in Chapter Six, is that the complete police leader needs to be thoroughly familiar with all styles of leadership, including both transformational and transactional, and able to move from one style to another as necessary. Leaders make choices. Those choices include deciding which style of leadership is appropriate for a given occasion.

Transformational leadership – and beyond?

Given that knowledge continues to evolve, it would be unwise to imply that transformational leadership is the final stage of leadership development theory and that no further study need be made in this area.

Recently some writers have conflated charismatic, heroic and transformational leadership and argued that they share similar weaknesses. This sort of leadership, they argue, is simply a new variation on an old theme: the great man (or woman) theory of leadership. It is time to move on. Is there a new school or paradigm of leadership, which is about to impact on organisations? Some would argue that there is, and that it is called ‘distributed leadership’.

Distributed leadership

In the contemporary organisational arena, work itself is organised so that previous theories of the ‘focused leader’ are no longer applicable. Modern work is carried out by teams who are not necessarily geographically co-located, and who cooperate to solve problems on the basis of inter-dependent expertise. (Consider, for example, air traffic control, or according to Gronn, some forms of school administration.) The nature of this work leads to informal connexions and relationships in which leadership is a shifting and shared enterprise, so that rather than study leaders, we should study leadership.

Distributed leadership, it is argued by some, fits modern organisations in practice. It should also be promoted as morally desirable, in that it promotes participation and empowerment and does not degrade followers.

Other styles of leadership, even transformational leadership, incline towards making a hero of the leader and put too much emphasis on personality and attributes. It is argued that transformational, charismatic and heroic leadership are in practice inseparable, and too much emphasis upon charisma is

<table>
<thead>
<tr>
<th>Transactional Leadership</th>
<th>Transformational Leadership</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Builds on man's need to get a job done and make a living</td>
<td>• Builds on man's need for meaning</td>
</tr>
<tr>
<td>• Is preoccupied with power and position, politics and perks</td>
<td>• Is preoccupied with purposes and values, morals, and ethics</td>
</tr>
<tr>
<td>• Is mired in daily affairs</td>
<td>• Transcends daily affairs</td>
</tr>
<tr>
<td>• Is short-term and hard data orientated</td>
<td>• Is orientated toward long-term goals without compromising human values and principles</td>
</tr>
<tr>
<td>• Focuses on tactical issues</td>
<td>• Focuses more on missions and strategies</td>
</tr>
<tr>
<td>• Relies on human relations to lubricate human interactions new talent</td>
<td>• Releases human potential – identifying and developing</td>
</tr>
<tr>
<td>• Follows and fulfils role expectations by striving to work effectively within current systems</td>
<td>• Designs and redesigns jobs to make them meaningful and challenging</td>
</tr>
<tr>
<td>• Supports structures and systems that reinforce the bottom line, maximise efficiency, and guarantee short-term profits</td>
<td>• Aligns internal structures and systems to reinforce overarching values and goals</td>
</tr>
</tbody>
</table>

Comparison of Transactional and Transformational Leadership (Covey, 1992)
dangerous: so-called charismatic leaders can be self-obsessed and in extreme cases downright disastrous for the companies and people whom they damage. Followers need to be recognised as vital to leadership, and leadership itself as a shared enterprise. As Bolden (2005) puts it:

“Transformational or charismatic leaders might even be accused of being narcissists who engender a culture of dependency amongst followers (Conger, 1990; Maccoby, 2000)…”

He goes on to say:

“A range of more inclusive models of leadership are now emerging (in aspiration if not always in practice) which argue for quieter, less dramatic leadership at all levels within the organisation.

“Quiet management is about thoughtfulness rooted in experience. Words like wisdom, trust, dedication, and judgment apply. Leadership works because it is legitimate, meaning that it is an integral part of the organization and so has the respect of everyone there. Tomorrow is appreciated because yesterday is honoured. That makes today a pleasure.” (Mintzberg, 1999)

Perhaps, then, we are simply seeing a re-awakening to the importance of inclusive and collective leadership. Authors now talk of ‘Servant’, ‘Moral’ and ‘Team’ leadership where the leader takes up his/her role out of a desire to achieve communal goals founded upon shared values and beliefs, rather than “because of the need to assuage an unusual power drive or to acquire material possessions” (Greenleaf, 1970). From this perspective, the individual leader should know when to step back and relinquish control dependent on the situation and nature of the task – indeed, the leader should also be a good follower.

This definition of followers could equally be applied to leaders and indicates how the boundaries between leadership and followership are becoming blurred: the definition of a good leader need not differ greatly from the definition of any good employee or responsible individual.

The concept of ‘distributed’ leadership, founded on a shared sense of purpose and direction at all levels in the organisation, turns our attention to the processes of leadership rather than the properties of individual ‘leaders’ and is becoming increasingly popular in sectors such as education and healthcare....”

Storey (2004, 2005) argues that leadership theory is moving away from the ‘cult of individualism’, with transformational leadership and neo-charismatic leadership theories being on the wane. He espouses an emergent theory of ‘new leadership’ that is post-charismatic and post-transformational.

Commentary

In our view, distributed leadership is a wake-up call rather than a new style of leadership which supersedes all others. It should be a truism that leaders depend on followers, and that at least to some extents and purposes leadership is a shared enterprise. We may take this further, and argue that on some occasions there is a need for distributed leadership. Nevertheless, distributed leadership is not a style for all seasons, but should be used when appropriate, as part of the situational approach to leadership which is our core recommendation.

In so far as the yet rather ambiguously defined concept of distributed leadership can be made applicable in a real-life context, it is already absorbed and reflected in the PLQF and our doctrine of police leadership. Thus, for example, it is accepted that:

• Leadership is not the preserve of senior officers alone, but is practised throughout the police organisation—and in co-operation with other agencies;

• The police service needs to develop police leadership as well as police leaders;

• Therefore, opportunities for leadership development should be available throughout the organisation; and

• The five levels of police leadership developed in police doctrine are wholly compatible with the concept of distributed leadership, seen in its broadest sense.

Emergent leadership as the property of a group

Police officers in command of firearms or public order incidents (or both) are wise to make best use of the technical skills of the tactical advisers who are available to help them, and indeed they would be in dereliction of duty if they ignored this source of advice. However, by definition the tactical adviser is not the commander, and it would be misleading to describe this as an example of the practice of distributed leadership within the police service. The commander listens to the advice and makes the decision, and the commander retains accountability. Leadership, in this case, is not in Gronn’s terms the emergent quality of a group, and this is an example of consultation rather than distributed leadership.
A much closer example to distributed leadership is likely to be found in a multi-agency approach to a community safety problem, where leadership does appear to be a shared or distributed element as the various senior stake-holders interrelate. Even here, however, ‘distributed’ leadership is somewhat ambiguous. Leadership may be shared, in the sense that different members of the group bring different experience, values and interests to bear; but that does not mean that leadership is equally distributed throughout the group.

As the National College for School Leadership report comments (op. cit., page 9):

“Although at first sight the concept of distributed leadership may appear to stand at odds with strong senior leadership, there is no necessary contradiction. Indeed, the view of distributed leadership as concerted action through relationships allows for strong partners in relationships which at the same time entail power disparities between them.”

**Conclusion**

**Democratic and distributed leadership**

PLQF argues for democratic leadership as opposed to autocratic leadership for the compelling reason that, as well as being in touch with the spirit of the times, democratic leadership ‘works’. Leaders who provide both structure and consideration (Argyle, 1969) lead happier and more successful teams. Conceptually, democratic and distributed leadership would appear to be different phenomena, although in the absence of a clear and authoritative definition of distributed leadership it is difficult to be certain of this. However, to suppose a fundamental boundary between the two concepts may be to create a distinction without a difference.

**The need for accountability**

Democratic leaders consult and involve their staff, but retain ultimate responsibility for actions undertaken. There is thus no contradiction between democratic leadership and a clear and authoritative chain of command. Who holds accountability under the concept of distributed leadership is less clear: but unless distributed leadership is taken to mean that an organisation has no formal pattern of leadership at all, then this issue needs to be resolved.

---

1Professor Beverley Alimo-Metcalfe’s latest leadership model (2005) is entitled ‘A Post-Heroic Model of Transformational Leadership’ (see Chapter Six for more details) – which implies that in her view, transformational leadership remains the most effective in describing effective performance.
Chapter Four
The competency approach and beyond
The Police Leadership Development Board (now Workforce Modernisation Board) commissioned the Leadership Academy for Policing with building a holistic model of effective leadership for the Service which is complementary to, and consistent with the Integrated Competency Framework, but which is broader and takes into account values, ethics, styles and qualities. This work, which will commonly be referred to as the Police Leadership Qualities Framework (PLQF), is intended, de facto, to be the Doctrine of Police Leadership where doctrine is understood to be ‘what we teach in our profession about leadership’.

This work also meets the recommendation in the Home Office research paper ‘Police Leadership: Expectations and Impact’ (Dobby, Anscombe and Tuffin 2004) that “the National Police Leadership Centre at Centrex [now the Leadership Academy for Policing] should begin to develop an evidence-based model detailing the key elements of effective police leadership”.

The Integrated Competency Framework

The lexicon of terms used in describing the constituent elements of leadership can be a minefield of confusion. The same terms often have different meanings when used by different practitioners. For the purpose of the arguments that flow in this paper, the following meanings are given to terms:

- **Competency**: a skill or ability of a person which results in effective and/or superior performance. In the ICF a competency is constructed such that it comprises an identified standard of performance in a given work-related activity where achievement of the standard is a result of displaying critical behaviours.

- **Quality**: a personal trait that describes or determines an individual’s personality or character.

- **Value**: a personally held moral principle which is used to make judgements about right and wrong, good and bad.

- **Belief**: a conviction or opinion about life which is held to be true.

- **Attribute**: any aspect of a person’s character, values, beliefs, competencies or behaviour which may or may not be used for the purposes of evaluation and assessment. This is the all-embracing term.

Diagram Twelve

Human Attribute Model

Primary sources: ‘Logical Levels’ in Neuro-Linguistic Programming, and Will Schutz’s Human Elements Model

The National Competency Framework (Project) was initiated in May 1999 following the merger of two previous projects carried out by an ACPO team and the Metropolitan Police Service. To quote from the project’s executive summary:

“In a policing environment where clear and consistent standards are becoming ever more important, a key objective of the project was to create a single nationally agreed competency framework to replace the large number of existing competency frameworks in use within the Police Service. In addition recent public and parliamentary inquiries and legislation have reinforced the need to identify and maintain high standards of policing.

Prior to the merger of the two previous projects a considerable amount of background research was carried out on the current situation regarding competencies within the Police Service. This formed the basis of a scoping exercise when the two projects were merged, and as a result a number of deliverables were identified for the project:

- NCF to contain behavioural and technical competencies for all police officers including ACPO ranks, together with competency based role profiles for key roles
- Process and structure to map future Occupational Standards into the NCF... (and)
- Staff appraisal process modified to enable the assessment of individuals against the new competencies...
The results of the (threefold) validation study give strong support for the accuracy and utility of the NCF. Higher ratings on the Behavioural Competencies showed an extremely strong statistical relationship with better performance in roles across the Police Service, and the content of the NCF as a whole was seen by job-holders as accurately reflecting the content and skills required by their role.

Further development
The Integrated Competency Framework (see page 17), launched in April 2001, is now well-established in the Police Service and is increasingly being used to inform key HR processes such as recruitment; selection; promotion assessment; performance appraisal; professional accreditation and training and development. The ICF has thus become an indispensable tool, with systems and processes built around it in most forces.

The ICF, however, was not designed to be a leadership competency framework. It was designed to be a tool capable of generically describing competence in the range of roles and activities that are undertaken in the Police Service, whether or not they contain leadership or management responsibilities. Notwithstanding this caveat, leadership and management competences form a substantial part of the ICF and for the past two or three years the tool has also been used as a leadership competency framework.

However, practitioners have begun to recognise that the framework does not describe some important values and qualities which are known to be commonly found in highly effective leaders. Another observation which is commonly made is that the ICF does not adequately describe transformational leadership behaviours, which links to the body of evidence showing that transformational leadership is strongly linked to improved performance.

A Critique of the Competency Based Approach to Leadership Development

In the public sector, as we have already indicated, government has seen competency frameworks as a key factor in improving leadership/management capability in public services. A competency approach offers many advantages to organisations in improving performance:

• Complex problems of differences in leadership performance can be made easier to understand by looking at sub-areas of performance.

• A competency framework creates a common language and way of thinking about leadership/management and thus more readily enables performance and development issues to be addressed.

• Using an agreed framework across different organisations in the same sector allows the achievement of minimum sector standards.

• Specifying standards and being able to measure against them allows performance to be better managed and tracked over time.

• A competency approach links organisational requirements of its leaders to the behaviours of individual leaders in a systematic way.

Criticisms
The competency approach to management and leadership selection and development has been subject to the following criticisms by both academics and practitioners, such as Bolden and Gosling (2004):

• The approach can be ‘overly reductionist’ in that management and leadership is broken down and represented as no more than the sum of its identified major components. Leadership development requires a holistic approach.

• The standards and behaviours in competency frameworks can be ‘overly universalistic’ and assume equal relevance regardless of the scale or nature of the organisation and the context in which it operates. Whilst generalisations are valid, they also have limitations.

• Competency frameworks may ‘reinforce rather than challenge traditional ways of thinking about management’ because of their derivation from current views of perceived best practice from those in that sector. Formalised competences and standards may hinder change and adaptation in fast moving areas.

• Standards tend to focus on measurable, observable behaviours and outcomes to the detriment of personal qualities, values or attributes which may be more subtle, but nevertheless important.

• A purely competency and standards based approach can lead to an ‘overly mechanistic’ approach to leadership development, emphasising training to reach the standard, rather than education to expand the person. Leadership development should be about enabling individuals to ‘become all that they can be’ rather than just concentrating on getting them to a defined minimum standard.

• A result of adopting a competency and standards approach can be that there is a concentration on inputs (behaviours) and outcomes (standards) without sufficient consideration about how one is turned into the other (process). In the case of leadership and management, process means style. Competency frameworks often say very little about what styles of leadership are likely to be most effective.
### Diagram Thirteen

**Police ICF Behaviours**

<table>
<thead>
<tr>
<th>Area</th>
<th>Behaviour</th>
<th>Details</th>
</tr>
</thead>
<tbody>
<tr>
<td>Leadership</td>
<td><strong>Strategic Perspective</strong></td>
<td>Looks at issues with a broad view to achieve the organisation’s goals. Thinks ahead and prepares for the future.</td>
</tr>
<tr>
<td></td>
<td><strong>Openness to Change</strong></td>
<td>Recognises and responds to the need for change, and uses it to improve organisational performance.</td>
</tr>
<tr>
<td></td>
<td><strong>Negotiation and Influencing</strong></td>
<td>Persuades and influences others using logic and reason. Sells the benefits of the position they are proposing, and negotiates to find solutions that everyone will accept.</td>
</tr>
<tr>
<td></td>
<td><strong>Maximising Potential</strong></td>
<td>Actively encourages and supports the development of people. Motivates others to achieve organisational goals.</td>
</tr>
<tr>
<td>Working</td>
<td><strong>Respect for Race and Diversity</strong></td>
<td>Considers and shows respect for the opinions, circumstances and feelings of colleagues and members of the public, no matter what their race, religion, position, background, circumstances, status or appearance.</td>
</tr>
<tr>
<td>with others</td>
<td><strong>Teamworking</strong></td>
<td>Develops strong working relationships inside and outside the team to achieve common goals. Breaks down barriers between groups and involves others in discussions and decisions.</td>
</tr>
<tr>
<td></td>
<td><strong>Community and Customer Focus</strong></td>
<td>Focuses on the customer and provides a high-quality service that is tailored to meet their individual needs. Understands the communities that are served and shows an active commitment to policing that reflects their needs and concerns.</td>
</tr>
<tr>
<td></td>
<td><strong>Effective Communication</strong></td>
<td>Communicates ideas and information effectively, both verbally and in writing. Uses language and a style of communication that is appropriate to the situation and people being addressed. Make sure that others understand what is going on.</td>
</tr>
<tr>
<td>Achieving</td>
<td><strong>Problem Solving</strong></td>
<td>Gathers information from a range of sources. Analyses information to identify problems and issues, and makes effective decisions.</td>
</tr>
<tr>
<td>results</td>
<td><strong>Planning and Organising</strong></td>
<td>Plans, organises and supervises activities to make sure resources are used efficiently and effectively to achieve organisational goals.</td>
</tr>
<tr>
<td></td>
<td><strong>Personal Responsibility</strong></td>
<td>Takes personal responsibility for making things happen and achieving results. Displays motivation, commitment, perseverance and conscientiousness. Acts with a high degree of integrity.</td>
</tr>
<tr>
<td></td>
<td><strong>Resilience</strong></td>
<td>Shows resilience, even in difficult circumstances. Prepared to make difficult decisions and has the confidence to see them through.</td>
</tr>
</tbody>
</table>
Expanding the ICF – the introduction of the PLQF

The purpose of seeking to expand the ICF to create the PLQF is that this will facilitate the selection and development of better leaders. The ICF would thus expand into the affective and relational aspects of leadership: where followers are influenced by what the leader is and stands for, not just what a leader does; where leaders have to be followers and servants too and leadership development is more about a continual process of development than reaching a standard and remaining there.

Any expansion of the ICF needs to ensure that its empirical validity is not undermined. The key source of value of the ICF is that it is a police specific framework developed from research and analysis conducted with police practitioners. Currently, the ICF identifies twelve generic behaviours grouped into three areas as shown in the table below. These twelve behavioural competences form the descriptive building blocks of the system which sit alongside identified activities and national occupational standards to produce an integrated system for judging competence. In order to ensure complementarity, it is proposed that these twelve behaviours should form the core of the PLQF.

The three ‘area’ clusters for the twelve behaviours – leadership, working with others and achieving results – present a problem. The concept of creating a PLQF by extending the ICF is not assisted in having one of the three sub-domains of the ICF called ‘leadership’. Clearly, all twelve behaviours, rather than just four, are relevant in describing leadership competence.

Personal qualities and values provide core or foundational material for building leadership effectiveness. Intuitively, therefore, personal values and qualities should form the core of any leadership development model.

The model shown here has been developed by the Leadership Academy for Policing in order to show how the Integrated Competency Framework can be enhanced to create a new Police Leadership Qualities Framework. The model builds upon the twelve behavioural competences in the ICF but instead of grouping them into three areas, represents them in four domains:

• Three ‘external’ domains of Leading People, Leading the Organisation and Leading the Way and
• One ‘internal’ of Personal Qualities and Values.

The central triangle includes three behaviours from the ICF: personal responsibility, openness to change and resilience within the domain of personal qualities and values. The model is a three-dimensional pyramid with personal qualities and values being at the bottom, representing the fact that this domain is the foundation on which each leader builds his or her leadership competence.
Which qualities and values?
This question has been the subject of extensive research and consultation with stakeholders and practitioners within and outside of the Police Service as part of the work underpinning the development of the PLQF. This process has included:

- Academic literature review;
- Acknowledged existing leadership qualities frameworks;
- Original National Competency Framework research data in relation to unused identified leadership qualities and values;
- Interviews with the strategic executive police stakeholders;
- Focus groups of police officers and police staff;
- Community and police partnership focus groups;
- Expert leadership groups of police officers, police staff, community and police partnerships to discuss the preliminary findings of the research;
- Stakeholder reference group;
- A mapping with other established validated leadership development tools.

Through this process three core qualities and values were identified to sit at the centre of the PLQF. These are:

- **Personal awareness**
  Outstanding leaders have high levels of personal awareness that transcends self and includes an understanding of others and how others perceive them;

- **Personal integrity**
  Outstanding leaders possess high integrity and moral courage which inspires trust and loyalty;

- **Passion for achievement**
  Outstanding leaders are driven by an inner desire to achieve objectives and to constantly improve.

The detailed definition and validation of these values for the purpose of selection, development and assessment is still work in progress. Once completed and fully embedded in the PLQF, and a bespoke new 360 degree feedback instrument, they will add a stronger values dimension to the way leaders are developed in the Service.

The future
As we have seen, the competency-based approach to leadership as represented by ICF is a necessary basis for further work, but is not enough as it stands. The need to further develop the ICF is accepted by leading practitioners and in particular, Skills for Justice, the government organisation which is responsible for the ‘guardianship’ of the ICF and who have been closely involved in planning its further development.

How do we go beyond ICF?

- In Chapter Three, we explored and reviewed leadership theory as a whole, with an emphasis on styles of leadership and how to choose between them;
- In Chapter Four, we have expanded ICF to PLQF, giving it an explicitly moral base;
- In Chapter Five, we examine how to be an ethical and effective leader in order to improve the ethical performance of the organisation; and
- In Chapter Six, we bring it all together to present a model of successful leadership for British police leaders in a late modern and diverse society.
Chapter Five
Ethical and effective leadership: Culture, climate and context
Good police performance is ethical, effective and efficient in its use of resources. It contributes to fundamental policing purposes and achieves high public satisfaction whilst at the same time withstanding objective scrutiny.

Police leadership exists to promote good police performance. This chapter is about the importance of ethical leadership in the Police Service and how to achieve it.

We address this by:

1. Categorising police work and presenting a model for good police performance as both ethical and effective.

2. Reviewing the ethical frameworks that have guided policing in the past and will do so in the future.

3. Establishing how to apply ethics in practice as a leader at both personal and organisational levels, with an emphasis on discretionary leadership.

4. Providing guidance on how to deal with the moral dilemmas that are an inescapable part of police work.

Ethical police leadership is not easy and is not a task that can ever be considered fully accomplished. To fly an aeroplane is comparatively easy, since the system is designed to achieve homeostasis. If you take your hands off the controls, the aeroplane should continue to fly. Flying a helicopter is difficult, because the reverse applies. If you take your hands off the controls, the machine crashes. Practising ethical police leadership, by analogy, is difficult in that it requires constant attention.

The satisfaction obtained, however, is worthwhile. If the Police Service is subjected to well-founded criticism then action must be taken: if it is ill-founded it must still be answered. Astute police leaders know what the criticism will be before it is consciously formulated and expressed, and take action to avoid, correct or prevent it. Then and only then are they really flying the helicopter and enjoying the proper exercise of command.

The virtue of integrity

The PLQF rests upon the indispensable virtue of integrity. Police leaders (whether operating in transformational or any other mode) must display integrity in whatever they do.

Pagon (cited in Villiers and Adlam, 2004) offers a useful synthesis of views as to the meaning of integrity, quoting from Delattre and Becker amongst others.

Delattre (1996) defines integrity as “the settled disposition, the resolve and determination, the established habit of doing right where there is no one to make you do it but yourself” (p. 325).

Becker (1998) states that: “Integrity is the principle of being principled, practising what one preaches regardless of emotional or social pressure, and not allowing any irrational consideration to overwhelm one’s rational convictions” (p. 158).

Integrity in policing, then, means that police officers genuinely accept the values and moral standards of policing. They possess the virtues of their profession, and they consistently act, out of their own will, in accordance with those values, standards, and virtues, even in the face of external pressures.

Integrity as a basis for ethical police leadership

Ethical and effective police leadership requires the active promotion of ethical behaviour by others, as well as the determination to withstand assaults upon one’s own integrity. Gary Yukl, an astute and long experienced commentator on leadership theory, offers some pointers as to what this implies. In his view, (Yukl, 2004), ethical leaders:

- Set an example of ethical behaviour in their own actions
- Facilitate the development and dissemination of a code of ethical conduct
- Initiate discussions with followers or colleagues about ethics and integrity
- Recognise and reward ethical behaviour by others
- Take personal risks to advocate ethical solutions to problems
- Help others find fair and ethical solutions to conflicts
- Initiate support services.

Similarly, Yukl also stresses that the reverse is necessary. Where organisational standards of integrity risk being compromised, ethical leaders:

- Refuse to share in the benefits provided by unethical activities
- Refuse to accept assignments that involve unethical activities
- Discourage unethical activities by others
- Speak out publicly against unfair or unethical practices in the organisation
- Oppose unethical decisions and seek to get them reversed
- Inform proper authorities about dangerous products or harmful practices
- Provide assistance to others who oppose unethical decisions or practices.
The PLQF emphasises the importance of ethical leadership, in its broadest sense, in support of the fundamental tenets and beliefs of the British Police Service, which may be summarised as performance with integrity.

In the 21st century the highest standards of ethical leadership are required of police leaders.

1. Categorizing police work and deciding success

In broad terms, what the police do may be described as fitting into one of four quadrants:

- Ethical and ineffective
- Unethical and ineffective
- Unethical and effective
- Ethical and effective

The purpose of ethical police leadership must be to promote police behaviour that is both ethical and effective.

Clearly, no one would advocate the promotion of unethical and ineffective police behaviour.

Equally clearly, police work that is well-intentioned but does not achieve positive results, is not ideal.

What about police work that is unethical but effective? This needs further deliberation. Let us do so by working through an extreme example: the use of torture.

The use of torture

Torture might be given as an example of unethical and effective police work. The deliberate infliction of pain in order, for example, to obtain the truth from a suspect could be described as effective if it solves crime, saves victims or prevents terrorism.

Torture is normally and rightly condemned as both illegal and unethical per se, and its use is specifically forbidden under any circumstances by the European Convention on Human Rights (Article 3). The moral and legal position of the police is, or therefore should be, absolutely clear. The use of torture cannot be justified under any circumstances whatsoever.

The ‘Dirty Harry’ Problem

We would therefore suppose that few would argue for torture, but an argument can be constructed. In ethical terms, Article 3 is a deontological rule: it pays no attention to consequences. However, suppose the prisoner in custody has concealed a kidnap victim under circumstances where she will soon die, and refuses to reveal her whereabouts. Are we not, under those specific and pressing circumstances, where life is at risk and we are under an obligation to prevent its loss, entitled to use whatever means is necessary?

This is clearly an ethical dilemma, perhaps rendered worse if the life of more than one person is at risk; and some consequentialists might well argue that under such circumstances the infliction of pain is a regrettable necessity.

Much depends, however, on how we define the consequences of an act.

If pain is inflicted upon a kidnapper and he therefore reveals information which he would otherwise have concealed; and if that information proves both true and helpful and saves the life of someone who would otherwise have died; and if, because of the circumstances of the case, it is apparent to the reasonable person that there was no other means of saving that life in the time available: then we have an act which both is effective and arguably ethical.

However, there are other ifs. What if the torture proves ineffective or the information wrong? What if the use of torture in one case leads to its use in others, where the argument is less compelling? What if the consequences of this one act lead towards a culture in which the Police Service believes itself entitled to act outside the law, whenever the circumstances justify it? All these are examples of the slippery slope argument, and all are compelling.

In any ‘Dirty Harry dilemma’, the officer in question faces a conflict of virtues. If the officer sticks to his or her professional training (and thereby upholds the rule of law), an innocent victim will die who might otherwise have been saved. On the other hand, to proceed to extra-legal means to address the problem is to subvert the values of one’s profession.
We conclude that the use of torture, to include its threat or simulation, is unacceptable in a liberal democracy (or any other state) that respects human rights and upholds the rule of law. The short-term benefits of torture are outweighed by its long-term harm, and international law is right to ban its use altogether. Torture is not effective: it might only appear so.

Reflection

If the Police Service is to demonstrate ethical leadership, this must go beyond a bland statement of ideals, or simple prohibition of their opposite. Police work is full of ethical dilemmas that need to be recognised and worked through in order for wisdom to prevail. Police leaders have a duty to raise the level of ethical awareness within the Police Service and encourage the realistic examination of the ethical dilemmas that police officers face in the path of their everyday work.

We would suggest that outside the confines of fiction, the stark moral dilemma faced by Inspector Harry Callaghan is comparatively rare; but there are many occasions in every day life in which the police officer has to mould a course of action between competing alternatives, each of which has some justification on ethical grounds. A learning organisation benefits by the consideration of these dilemmas. It must decide what it means by the terms effective and ethical, about which there is likely to be some disagreement.

A medical comparison

Medicine is a clear example of a profession in modern life, and medicine devotes a good deal of time and energy to the education and professional development of its practitioners. Doctors, nurses, midwives and other medical practitioners are highly trained people, working to recognised standards. Medicine, furthermore, is a permanent minefield of ethical problems and dilemmas. Under such circumstances, we might have expected that the medical profession would have produced a handy, pocket-sized aide memoire on ethics, so that ethical dilemmas arising could be readily recognised and resolved. Such, however, is not the case; and the absence of such a pocket guide is not an oversight.

No ‘ready reckoner’ on ethics

The medical profession recognises, through the work of the professional ethics committee of the General Medical Council, that there is no ‘ready reckoner’ on ethics. Ethical problems and dilemmas need to be addressed as they arise, by the group of dedicated and professional people who are immediately concerned with their resolution. They may disagree. They may view ethical problems in different ways, and from different standpoints. They may reach a solution about patient y, which does not appear entirely consistent with the way in which they previously resolved the case of patient x; for circumstances alter cases and their solutions. And they must, of course, take into account the views of the patient: for we have moved away, by and large, from the era of benevolent paternalism into the more challenging arena of informed consent.

A group of conscientious and dedicated practitioners who are determined to reach an ethically justifiable solution by means of an open and honest discussion that takes into account the particular features of a case, and who may have different personal values, will not be afraid of disagreement: but they will in the end reach an individual solution to an individual case which is compatible with the general principles of their profession.

The essence of professional decision-making is to be able to reach a robust and defensible solution, based on the application of clear and consistent principles to the facts as known at the time, supported by the moral courage to do what may be legitimately criticised from another perspective.

Professional solutions to everyday problems

Police officers are not trained to achieve technically-based solutions to technical problems, as might engineers or surgeons. The problems that the Police Service faces are the problems of the public writ large, such as the vandalism, petty crime and persistent burglary that have destroyed the quality of life on a housing estate. In such a situation, the police can only operate with public consent; and one of the most challenging aspects of police work in such circumstances is to find out what the public wants and will approve, especially in a diverse community.

Whether working with the community or within the Police Service itself, ethical leadership is not about solution by authority where that is not appropriate. Nor does it seek the achievement of a premature and easily unravelled consensus. Ethical leadership is about the creation of an atmosphere and climate in which problems and dilemmas may be raised and reviewed in a disinterested but not necessarily dispassionate search for the best solution. In the police context, it recognises the particular problems of police work and the need for the proper use of discretion, which we shall address in greater depth in section four of this chapter.

Deciding success

If leadership in the Police Service is to be both ethical and effective, we must decide what is meant by success. Let us consider the area of the prevention and investigation of crime on a housing estate.

Successful crime prevention is, at least in theory, easy to measure: there is no crime.

However, there are at least four major snags here. Firstly, real and reported crime may not coincide. Secondly, crime may be displaced or diverted rather than prevented by crime prevention measures such as deterrent patrolling. Thirdly, a
negative effect cannot be conclusively established since we cannot prove a causal link. If burglaries decline in a certain area, and if we have increased foot patrols in that area, then we may be tempted to argue that increased foot patrols caused the decline in burglaries. However, there may have been other reasons; or the decline may have been a random (i.e. uncaused) event. Fourthly, crime prevention cannot be achieved by the police acting alone. They must act in cooperation with other agencies in order to address the causes as well as the manifestation of crime and disorderly behaviour.

We must therefore find a number of ways to measure (or perhaps a better word would be to estimate) the effectiveness of crime prevention.

Crime investigation also gives rise to problems in the definition and assessment of success. What is successful crime investigation? Here are some possibilities:

1. Results
   - The crime is detected and the criminal charged, prosecuted and sentenced.
   - The crime is detected and the criminal charged and prosecuted: the prosecution fails, for reasons which are not to the discredit of the Police Service.
   - The crime is detected but no charges are brought, for reasons which are not to the discredit of the Police Service.
   - As above, with the addition that police resources have been used as efficiently as possible in detecting the crime.

2. Process
   - Officially prescribed procedures are followed in full.
   - Victims and others involved in the criminal justice process (such as the accused) are fully satisfied with the process followed.
   - Human rights are fully respected.
   - The process accords to the highest moral standards.
   - There are no complaints; or, any complaints are fully resolved.

We could add other permutations and combinations. As we have seen before, the possible combinations result in four outcomes:

The first outcome (wasteful) is clearly undesirable from any point of view.

The third (sinister) is dangerous if tempting: here lies ‘noble cause’ corruption.

The second option (wishful) is also a challenge to police leadership: morale needs to be sustained in the face of disappointment or adversity.

In regard to the proper prevention and investigation of crime, there is no substitute for vigorous, challenging and effective leadership. In Sir Ian Blair’s phrase (Adlam and Villiers, 2003) this is “leadership that learns”.

2. Ethical frameworks and foundations

The oath of office

All police officers are sworn in as constables by taking an oath of attestation. Although this may not be a very ceremonial occasion, we have yet to meet any police officer who does not recollect the event, nor retain some memory of what he or she swore. The oath was revised under recent legislation to make specific reference to human rights: it remains a solemn and binding declaration. We believe that its proclamation should be made with due seriousness, and that it should be referred back to throughout the police officer’s career, whether under formal training or informal review.
Chapter Five

Attestation for all

We further recommend that consideration be given to the development of an equivalent declaration for community support officers and support staff as part of the wider police family. The distinction between ‘sworn’ and ‘unsworn’ police staff is important in a court of law, as sworn police officers have greater legal powers. However, all members of the police family need to feel that they are working to a common purpose under shared values, and one of the ways of creating a sense of unity is by a common declaration.

The further significance of the oath

All police officers quickly learn that police leadership begins when they take the oath of attestation as a constable. From that moment and by virtue of taking that oath each new police officer solemnly accepts authority to enforce the nation’s laws and also the accountability and responsibility that necessarily accompanies such powers. From that moment you are no longer just a citizen, by virtue of these enhanced powers and responsibilities you are required to exercise leadership over others in the community. To wear the police uniform is to make a public commitment of readiness to lead.

Codes of discipline and ethics

The discipline code is an essential part of maintaining the ethical fabric of a police service. Staff must know what they can and cannot do, and the penalties that apply for misbehaviour, as well as the processes by which its occurrence will be investigated; and so must the public to whom the Police Service is ultimately accountable under the doctrine of policing by consent. The Police Service is a disciplined service.

There has been a long debate about the relationship between discipline and ethics in the Police Service. If the service has a disciplinary code, does it also need a code of ethics? Alternatively, if it has a code of ethics, does it need a disciplinary code? This debate, like that over the difference between leadership and management, is capable of prolongation to infinity, and we shall express our own view succinctly. The Police Service needs both a disciplinary code and a code of ethics, the latter being aspirational. The particular uses of a code of ethics are detailed by the Council of Europe, in a document to be found further in this text.

The British Police Service is committed to developing a national code of police ethics under Article 63 of the European Code of Police Ethics (2001) and the Northern Ireland Police Service has already done so. A draft Code of Professional Standards is currently under development by the Home Office. This Code, once developed and applied, will be of practical help in further developing the quality of British police leadership.

The draft Code is based around 10 core principles:

**Principle 1 – Responsibility and Accountability**

Police officers are personally responsible and accountable for their actions or omissions.

**Principle 2 – Honesty and Integrity**

Police officers are honest, act with integrity and do not compromise or abuse their position.

**Principle 3 – Lawful Orders**

Police officers obey lawful orders and refrain from carrying out any orders they know, or ought to know, are unlawful.

Police officers abide by the law.

**Principle 4 – Use of Force**

When police officers use force it is only to the extent that is necessary and reasonable to obtain a legitimate objective.

**Principle 5 – Authority, Respect and Courtesy**

Police officers do not abuse their powers or authority and respect the rights of all individuals.

Police officers act with self-control and tolerance, treating members of the public and colleagues with respect and courtesy.

**Principle 6 – Equality**

Police officers act with fairness and impartiality. They do not discriminate unlawfully on the grounds of sex, race, colour, language, religion or belief, political or other opinion, national or social origin, association with a national minority, disability, age, sexual orientation, property, birth or other status.

**Principle 7 – Confidentiality**

Police officers treat information with respect and access or disclose it only for a legitimate police purpose.

**Principle 8 – Fitness for Duty**

Police officers when on duty or presenting themselves for duty are fit to carry out their responsibilities.

**Principle 9 – General Conduct**

Police officers, on duty, act in a professional way.

Police officers do not behave in a manner which brings, or is likely to bring, discredit on the police service or that undermines or is likely to undermine public confidence in the police, whether on or off duty.

Police officers report any action taken against them for a criminal offence, conditions imposed by a court or the receipt of any penalty notice.
Principle 10 – Challenging and Reporting Improper Conduct

Police officers challenge and when appropriate take action or report breaches of this code and the improper conduct of colleagues.

There are a number of other sources of direction which provide guidance:

**The European Convention on Human Rights**

As the Council of Europe has recognised, the European Convention on Human Rights (ECHR) does not provide a substitute for a national code of police ethics, although there is a positive relationship between the two. Put simply, human rights are part of professional ethics, and not vice versa. Knowledge of human rights and willingness to uphold and apply them is necessary but not sufficient for ethical police leadership.

**The Statement of Common Purpose and Values**

The British Police Service has the statement of common purpose and values, originally developed under the ‘Plus’ programme of the Metropolitan Police Service and subsequently accepted by the three national police representative organisations.

The statement reads as follows.

“The purpose of the Police Service is to uphold the law fairly and firmly; to prevent crime; to pursue and bring to justice those who break the law; to keep the Queen’s Peace; to protect, help and reassure the community; and to be seen to do all this with integrity, common sense, and sound judgement.

We must be compassionate, courteous and patient, acting without fear or favour or prejudice to the rights of citizens. We need to be professional, calm and restrained in the face of violence and apply only that force which his necessary to accomplish our lawful duty.

We must strive to reduce the fears of the public and, so far as we can, reflect their priorities in the action we take. We must respond to well-founded criticism with a willingness to change.”

We find this statement extremely useful. It is short, clear and pungent, and has national acceptance. It offers part of the function of a code of ethics but is not a substitute.

**Force mission statements**

All or most police forces have these, which may or may not be variations on the Statement of Common Purpose and Values, and they may be used by local leadership on a local basis.

**European Code of Police Ethics (2001)**

[abridged and edited.]

How should the police act? ‘The European Code of Police Ethics’ provides a basis for the framework that is needed.

**The role of police in a democracy**

A glance at the role of police in a democracy reveals the particular relevance of a code of ethics for the police. People within democracies have organised their states to secure maximum freedom for themselves within the rule of law. Likewise, the criminal justice systems have been developed with the purpose of providing individual liberty and security. In democratic societies where the rule of law prevails, the police undertake the traditional functions of preventing, combating and detecting crime, preserving public tranquillity, upholding the law, maintaining public order, and protecting the fundamental rights of the individual. Moreover, in such societies the police provide various services to the public that are of a social nature, which support their other activities.

They are granted discretion to fulfil these functions.

The police in democracies help to sustain the values of democracy, and are themselves imbued with the self-same values. In general, the public consent to and, indeed, welcome the exercise of legitimate authority by the police so long as the police are seen to carry out their tasks in an ethically acceptable manner. In turn, the police have every right to expect that the public will support and co-operate with them in their activities when doing so. These ideas about democratic policing are at the heart of the Council of Europe.

**The value of a police code of ethics**

Although a code of police ethics is only the beginning of any process to secure common police standards, without one such a process has little hope of succeeding. By laying the foundation for ethical norms, a code of police ethics enhances the possibility that ethical problems are more readily identified, more fully understood, analysed more carefully and more readily resolved. It also prompts questions about the values served by the police as an organisation, and their proper application. Key concepts within the police, such as ‘loyalty’, ‘consent’, ‘impartiality’, ‘discretion’ and ‘professionalism’ all benefit from the common reference and shared meaning, and hence understanding, made possible by a code.
Chapter Five

Personal standards of conduct for all police officers, including recruits

Moreover, it can help articulate personal standards of conduct, which captures a sense of pride in being members of a police organisation. This is of particular importance to police recruits, who need to know from the outset the core values that should define and govern their work. The mention of police recruits is a reminder of how important codes are for police training. Without some such objective reference for standards and values, the trainer's task is made doubly difficult.

Public consent

As has been mentioned, police services are greatly enhanced if police enjoy the consent and close co-operation of the public. The public is dependent upon the responsible delivery of police services for the delivery of which the police are invested with considerable authority, including discretion, which constitutes a virtual monopoly of legitimate coercion. For this reason the public has a need for assurance.

A well-publicised police code of ethics, by underlining the common standards, purposes and values of the police, can help to promote public trust in the police and further good public relations and co-operation.

The same standards, by making clear the range and scope of police services, help safeguard the police against unwarranted, frivolous and vexatious demands, and, above all, limit their liability for failures of service.

Internal organisation

Moreover, a code can work as a regulatory instrument for the internal organisation of the police. This is one of the striking features of 'The European Code of Police Ethics'. By providing minimum standards, values and ethical frameworks, it may serve a regulatory function in four ways:

1. By maintaining quality control of the personnel of the police organisation (including police staff);
2. By helping in the exercise of leadership, management and supervision;
3. By making senior members of the organisation more accountable; and
4. By providing a norm for the adjudication of difficult, internal disputes.

In terms of its possible influence upon police practice, a police code of ethics recommends best practice for the police, and is a specialised version of habitual, everyday, commonsense principled conduct.

The rule of law

The police objective of upholding the rule of law encompasses two distinct but inter-related duties:

1. The duty of upholding the properly enacted and constituted law of the state, including securing a general condition of public tranquillity, and
2. The related duty of keeping strictly within prescribed powers, abstaining from arbitrary action and respecting the individual rights and freedoms of members of the public.

The rule of law is focused not only on what is done but on how it is done. In carrying out their duties, police need to respect citizens' individual rights, including human rights and freedoms, and avoid arbitrary or unlawful action. This is fundamental to the meaning of the rule of law and therefore to the whole meaning and purpose of police duty in a democracy.

One law for all

Above all the rule of law requires that those who make, adjudicate and apply the law should be subject to that same law. It is the mark of the police in a fully-fledged and mature democracy that they bind and subject themselves to the very law that they are pledged to uphold.

The European Code of Police Ethics – time to adopt?

The Code provides a set of principles and guidelines for the overall objectives, performance and control of the police in democratic societies governed by the rule of law. The Code is concerned to make specific and define the requirements and arrangements that fit the police to meet the difficult, demanding and delicate task of preventing and detecting crime and maintaining law and order in civil, democratic society.

Paragraph 63 of the code states: “Codes of ethics of the police, based on the principles set out in the present recommendation, shall be developed in member states and overseen by appropriate bodies”. The Police Service of England and Wales has yet to formulate and adopt such a code of police ethics and until the proposed Code of Professional Standards is fully developed, continues to rely on the Statement of Common Purpose and Values, the oath of attestation, police disciplinary regulations and individual force mission and values statements. Many in the Service would argue that trust and confidence in police, and the development of police leaders, would be well served by the adoption of a Code of Police Ethics for the Police Service of England and Wales – and the proposed new Code is welcome in this regard.
3. Ethical leadership applied

A culture of ethical policing requires a “visible and personal commitment to the values and principles of ethical policing.” *(Neyroud and Beckley, 2001).*

In order to be able to practise ethical and effective police leadership, police leaders need:

- Technical and professional knowledge;
- Physical and emotional resilience;
- A strong personal ethical framework and orientation; and
- The ability to relate and apply core values to the task in hand.

Warren Bennis (1989) describes the essential journey of becoming an effective leader as “the process of becoming an integrated human being”. The development of a strong ethical framework on which to build leadership forms the keystone of success. The integration that is required includes the ability to meld one’s personal value system with that of the Police Service and thereby achieve a personal congruence that enables one to act with confidence and integrity.

Once that framework has been developed and tested on the anvil of personal experience, how is it to be applied more widely? This requires unceasing vigilance, tailored to the character of police work and the proper functioning of its chain of command.

Discretionary leadership

All police officers are required to use their judgement and exercise discretion in enforcing the law at all levels of police work. More difficult decisions are not automatically referred up the scale of command for the judgement of more senior officers, since time and circumstances may not allow for this, and it would in any case run counter to police tradition and practice. Police constables have to exercise discretion just as much or indeed more than their seniors.

Only the police officer at the scene can decide, for only he or she can appreciate the full facts of the situation as it evolves and evaluate the probable immediate consequences of the various options available to the officer on the spot.

On the other hand, there will be occasions when the judgement of the more senior officer is either required or at least desirable.

- Where time and circumstances allow, senior consideration may add value to the quality of the decision made.
- There may be far-reaching consequences to a simple executive act that take it from beyond the tactical to the strategic arena.
- Force or national policy may be affected.
- Other agencies may be involved.
- The actions of a number of police officers may need to be co-ordinated in order to obtain a proper response to an incident.
- In the case of an intelligence operation, only the senior officer may know ‘the full picture’.

In these and other circumstances, where the decision as to what to do need not be made at the point of impact, senior consideration may have merit. These considerations, however, do not remove the need for discretion (and accountability) on the part of the officer making the decision. Law enforcement is a matter of judgement, in which knowledge of the law is not enough to be a complete police officer. Discretion requires judgement, and judgement requires ethics.

*The reasons for an arrest*

Let us suppose that Police Constable John Smith fails to make an arrest, where you as his or her senior officer might have supposed that an arrest was desirable. If the police officer states that he failed to make an arrest because:

- He was about to go off duty, or
- He was put off by the amount of paper-work that would be involved, or
- The person who should have been arrested was so aggressive in his demeanour that the officer in question was scared to take action, or
- He had already achieved his arrest quota for that period.

Then, on the face of it, these are not commendable examples of discretion. Discretion does not allow the police officer to shirk his duty under unpleasant, disturbing or threatening circumstances, per se.

If, on the other hand, the officer were able to show that:

- An arrest at that time and place would have lead to a more serious breach of the peace, or
- That there were other and better ways available to deal with the problem at the time, or
- That there were other sources of evidence available so that an arrest could be made at greater convenience at a later date.
Then on the face of these are better reasons for the exercise of discretion. What is in place, in fact, is a double exercise of discretion: firstly, by the executive officer and secondly by his or her senior officer.

In summary:

1. The use of discretion is inescapable in police work;
2. Its indispensability prevents the use of simple management systems and techniques such as algorithms to dictate appropriate behaviour; and
3. A knowledge of the law is not enough for proper police work, for which a sense of moral awareness is indispensable.

All of this places a particular challenge to police leadership, which we may examine further by considering a practical example: the use of discretion in the area of entrapment.

What counts as entrapment?
The principles are summarised as follows:
1. The active/passive distinction
2. Providing an opportunity
   a. Test purchases
   b. Random virtue testing
3. Predisposition
4. Reasonable suspicion.

The Loosely tests of entrapment
The relevant factors were identified in Loosely as follows:

- The nature of any inducement
- Causation relevant but not necessary
- Nature of the offence
- Existence of reasonable suspicion
- Nature and extent of state participation.

Comment
Absolutely clear rules cannot be provided
Detailed analysis and argument show that in Corker’s view there are significant flaws in the applicability of these principles throughout. Clearly, the principles do not provide an infallible guide for the police officer who wishes to address crime actively by both prevention and investigation but not to be accused of entrapment. This is a necessarily complex and difficult area, in which the best legal minds have so far failed to provide infallible guidance in the shape of simple, comprehensive and easily applied rules of behaviour.

We submit that it is unlikely that they will ever be able to do so. Indeed, some commentators have stated that when it comes to deciding whether an action is entrapment, all must depend on the facts of the case; and we are sympathetic to this view, so dear to the traditions of the common law.
The need for judgement is indispensable

If absolutely clear rules cannot be provided then that does not mean that the police should rush to the other extreme and behave randomly, recklessly, or without judgement. Indeed, the opposite applies: where simple rules cannot be provided, principles must be absorbed and applied. The issue of entrapment illustrates:

• The inescapable complexities of aspects of police work;
• The need for judgement, in its broadest sense, on the part of its practitioners; and
• The multiplicity of ways in which they are accountable for what they do.

Learning from experience: police work as a craft

Although a whole range of sciences are utilised in police work, it retains aspects of a craft; and a craft differs from a science, *inter alia*, in that one learns it through an apprenticeship. Leading detectives and directors of investigations learn from experience (both their own and others’) what is likely to count as entrapment; what is clearly legitimate police practice; and what is borderline or not yet tested.

In other words, police officers need to use their discretion sensibly and to occupy the middle area between conformity and recklessness. Deputy Assistant Commissioner John Grieve described this as the arena of lawful audaciousness.

The need for a learning organisation

Police leaders need to make sure that the organisation of which they are in charge and for whose actions they are accountable has a climate that is conducive to learning and develops a body of corporate knowledge in order to sustain the craft-based decisions of its practitioners. A climate of fear does not promote learning, and nor does an over-emphasis upon individual decision-making and accountability.

Professional police officers, like other professionals such as surgeons whose work has come under scrutiny, need to be able to make morally sustainable decisions that will stand up to scrutiny in a court of law. They cannot avoid moral dilemmas in what they do and they must expect some of their cases to fail. They remain in the arena, saving life and preventing crime, whilst applying the fundamental virtue of integrity.

4. Working through ethical dilemmas

What is the difference between an ethical or moral problem and an ethical dilemma? Let us make a contrast. Police corruption is a moral problem that needs to be addressed where it exists. It is not, however, a moral dilemma: for there is no moral argument in favour of corruption (defined as the misuse or abuse of one’s official position for personal gain). Its investigation, given the moral consensus that exists that corruption is indefensible, is largely a matter of applying well-known detective techniques by those who have not been corrupted – who may be outsiders to the organisation in question.

Compare, on the other hand, a conflict of ideals. Suppose that you, as a conscientious and dedicated police leader, wish to make use of the background and skills of a member of your staff in order to infiltrate and sabotage the work of a criminal gang engaged in people-smuggling. The police officer in question, detective constable Chan, is willing; he has the skills needed for the task, as far as you can judge; his background and personal circumstances are suited to the work in hand; and he will receive special training and support. The work is of great potential value and there appears no realistic alternative to the use of a police undercover officer if the gang is to be put out of action.

However… when you wake up and think about this case in the middle of the night (as you sometimes do, although you would deny it to casual acquaintances at work) you have your doubts.

Is Chan really up to it, despite his enthusiasm?

Does he fully understand the risks and possible long term implications of deep-cover work, for himself? Do you?

Are you justified in making use of his willingness to volunteer for what must remain, despite all the risk assessments you may apply, an uncharted voyage to an unknown destination?

We are not suggesting that this project should not be undertaken. Nor are we asserting that it is immoral *per se*. We are indicating that one desirable outcome, the investigation of crime, may clash with another: your duty of care for DC Chan. Where two virtuous possibilities clash, we have a moral dilemma.

---

1 It is traditional to regard police work as an art or a craft, rather than a science, from its artisan origins. Police work has made more and more use of advances in scientific techniques over the years, and some of those who work in the larger police ‘family’, such as crime scene analysts or offender profilers, are applied scientists. Detective work is, or should be, similar to the scientific method in terms of forming and testing hypotheses. Whilst police commanders must be capable of operating in a scientific manner, their work requires them to be able to master not one but many disciplines. Moreover, their work requires a profound understanding of human nature which cannot be obtained in the laboratory.
Resolving moral dilemmas

Moral dilemmas are more easily identified than solved. Moreover, police officers tend to be practical folk, not over-patient with the meanderings of moral discourse.

Chan volunteered, didn’t he? So what’s the problem?

The first issue that has to be addressed, therefore, is recognising that a moral problem or dilemma exists. In other words, the person, unit or organisation needs to be aware of a problem that cannot simply be resolved by recourse to law, human rights doctrine, precedent or authority – although all of these factors will probably be relevant to its resolution.

Pagon (Villiers and Adlam, 2004) states that “a lot of time and effort needs to be put into education and training in police ethics, before police officers, when faced with a moral problem, will:

• Automatically consider all the alternatives available to them;
• Not make decisions based on prejudice or impulse;
• Submit their decisions to reason and change them, if such a change seems reasonable; and
• Give equal consideration to the rights, interests, and choices of all parties to the situation in question.”

Taking these points into account, our model is as follows.

Ethical problem-solving

• Recognise that the problem exists.
• Find out as much as you can about the background to the problem, in an open and non-prejudicial atmosphere. As part of this process:
  – Consider the facts, finding out what is known and what is assumed
  – Challenge received opinion and conventional wisdom in a disinterested search for the truth.
• Expose and explore core values. Is this a moral challenge or a moral dilemma? If a dilemma, what are the virtues in conflict?
• Encourage an open-minded and positive resolution to the issue, based on a consensus of moral values where possible. The solution achieved should be fair, consistent with generally recognised moral principles, capable of defence in the public arena and able to withstand the test of time. It should certainly pass the stench test.

The Devil’s Advocate

It is suggested that the group should have a Devil’s Advocate, who is:

• Trusted by the group
• Disinterested in the solution achieved
• Not in a position of overwhelming authority
• Ethically aware.

Group decision-making

A group approach to problem-solving is consistent with the theme of democratic leadership that has been emphasised throughout our text. Democratic leadership is not the only approach to leadership. Nor is the achievement of a consensus of opinion absolutely necessary for the resolution of any problem. Both, however, are generally desirable.

There will be occasions when the formal leader of the group needs to impose his or her will upon the others present, and this may require moral courage. It will certainly require the ability to explain and apply one’s own moral framework in a clear and consistent manner, and to be able to deal with objection and disagreement in a positive way.

In these circumstances, the process of problem-solving and the quality of the relationship between the members of the group are of vital importance.

• Is it an open, trusting and supportive atmosphere?
• Can dissent be voiced without adverse consequences for the dissenter, on the basis of issues rather than personalities?
• Is the group leader really listening to what is said, or is he or she simply waiting to impose a pre-ordained solution?

Leadership is an art and not a science, and there are many ways to create an open and positive climate for discussion. Peremptory, dismissive or belittling behaviour is, however, unlikely to achieve it.

Many people will feel that if their views have been listened to, and if they can understand the reasons for the decision that has been reached, then they should be able to support it. In the case of an irreconcilable difference of opinion, then other means must be found to take matters forward. Leadership, where possible, should be firm, fair and friendly in order to win consent.
Moral relativism and subjectivism

‘One person’s terrorist is another person’s freedom fighter.’

Moral or ethical relativism is the idea that morality is relative. Its opposite is absolutism. Extreme relativism states that no moral judgement can do more than reflect the customs of the society in which it is made (Singer, 1973). Thus polygamy, for example, is practised as a matter of right in some cultural groups and not in others. There are no universally agreed beliefs as to what is right or wrong and no universal standards of morality. By analogy, crime is simply the cultural pursuit of a certain section of society: i.e. criminals!

Subjectivists claim that their ethical judgements are immune from criticism because each person’s ethical views are sovereign. In effect, each person is a cultural island, on which his or her moral views are incontestable.

A safe, just and tolerant society

Both ethical relativism and subjectivism in their extreme forms are wholly incompatible with the maintenance of a safe, just and tolerant society resting on the rule of law and respect of human rights and with the practice of professional policing as a means to that end.

Ethical relativism and the resolution of moral dilemmas

Cultural sensitivity is important, and tolerance should be practised where it is appropriate in a liberal democracy that respects diversity. Moral absolutism is not an option, and public opinion as to what is and what is not acceptable changes over time: consider the law on adult male homosexuality, which was a criminal offence even in private until 1967. However, a failure to be aware of one’s own moral position, or a failure to declare it when needed for fear of giving offence, is a failure of leadership; and cultural awareness is not the same as ethical relativism.

There are many occasions when behaviour must be stopped as both illegal and unacceptable, despite its real or supposed ‘legitimacy’ within a particular cultural group. The Victoria Climbié report gives a detailed exposition of this argument and makes a ringing declaration of the need for public service organisations to apply clear legal and moral standards across real or supposed cultural divisions when and where necessary.

Conclusion

In this chapter we have argued that ethical leadership encompasses an active respect for human rights and that its core virtue is integrity.

We have considered the moral development of the police leader as an individual; the moral development of the Service as a collective whole; and the positive relationship between the two.

We have divided police work into four quadrants, stressed the dangers of activity that is regarded as unethical but effective, and presented a model for good police performance as both ethical and effective.

We have defined successful policing as related to both process and outcome, for example in regard to the investigation of crime. The ideal outcome is one in which due process leads to lawful conviction. It must be borne in mind, however, that many highly desirable police activities, such as preventing crime or building better community relations, are difficult if not impossible to measure in terms of quantifiable results. They should still be undertaken, and other means found to assess their impact.

We have provided guidance on how to deal with the moral dilemmas that are an inescapable part of police work and presented a democratically-based model for investigating and resolving them.

We have reviewed the ethical frameworks that have guided policing in the past and will do so in the future. Inter alia, we have:

• Pointed to the symbolic importance of the oath of office and recommended its wider application;

• Re-affirmed the usefulness of the statement of common purpose and values; and

• Emphasized the importance of the development of a national code of police ethics.

PLQF provides an explicit moral framework for the development of the quality of British police leadership.
Chapter Six
Police leadership development for the 21st Century
Building on the foundations

Having reviewed the development of leadership theory, what are we to conclude? The most important conclusion should be that leadership is as complex and varied as the human race itself. Single or simple theories are not sufficient to depict and explain the broad range of skill and artistry shown by effective leaders down the ages. Individual theories, or individual studies of great leaders, can assist our understanding greatly but they cannot provide all the answers.

For example, it does not follow, because we read a biography of Churchill, Napoleon or Gandhi, that we must believe in the great man theory of leadership: or that we should model ourselves on such a person. Indeed, the study of leadership through the lives of great people is fraught with difficulties.

- The leaders in question may not know or understand the true reasons for their progress, so that we cannot necessarily rely on their instinct or reflections for the secret of success.
- Leaders may display or even share certain traits, characteristics or qualities, but we cannot always be sure which of these contribute to their success as leaders. Some characteristics may be accidental to their success, or disadvantageous: the leader is a leader despite factor x, rather than because of it.
- Some characteristics may be inimitable, meaningless, or bizarre. General Ulysses S Grant, for example, was an excellent equestrian, a failure in business, and an alcoholic; but he was also an outstanding military strategist. However, he failed to demonstrate the appropriate leadership qualities, as President of the United States, that he had demonstrated as a general in the American Civil War.
- Some leadership characteristics may be of statistical interest, but no more. Leaders tend to be taller than followers. Are we to conclude from this, that short people cannot be leaders, and that those of us below average height might as well resign ourselves to a life of dreary obedience? What about Napoleon? Did he over-compensate for his lack of stature by developing his powers of military command, or should we eschew such psycho-analytic explanations as neither proven nor helpful?

In summary, great men and women may have conspicuous faults as well as qualities. Should we set out to imitate their vices, as well as their virtues? Clearly not: but we should know what they were. There is value in taking an open-minded approach to the study of the art of leadership. We should look to biography and autobiography to expand our knowledge, avoid misconception, and test our theories: not to seek the elusive holy grail of the simple unified theory of leadership.

The way forward

As with the great man theory of leadership, so for the other schools: each has its disadvantages, and none provides a complete guide to effective leadership. We may make two simple, valid and useful conclusions.

1. There is much to be learned from the various schools of thought on leadership, but most notably from the work carried out in situational and contingency theory. Given an understanding of context we can know what style of leadership works and what it requires of the leader.

2. Research shows that a democratic and transformational style of leadership is likely to be more effective than the old model of ‘command and control’ in complex organisations in a late modern society.

The implication of these two conclusions is that leadership development in the Police Service must be focussed on enabling leaders to operate in a variety of styles, showing the ability to recognise when a given style is appropriate; and that they must be able to be transformational when required.

The fundamental principles of democratic leadership:

Structure and consideration

Michael Argyle, reader in social psychology at the University of Oxford, found in the course of his massive research into social behaviour that, as we have already stated, democratic leaders are more effective. Why? Empirical research has uncovered reasons that can also be elicited by conceptual analysis.

Democratic leadership works for three reasons.

1. First, a social style that moves between directing and consulting makes it easier for people to achieve – ‘to get the job done’ – and to have their needs met for inclusion, belonging and support.

2. Second, participation in decision-making means that the members of the group are more likely to become committed to the action that is decided upon.

3. Third, group discussion enhances understanding and this leads to greater cohesiveness and co-operation within the group.
Transformational leadership

Recent work has clarified the characteristics that managers believe leaders should possess. Horne and Stedman Jones (2001) found that the characteristic attracting the highest level of endorsement was the ability to inspire. However, only 11% of managers said that they experienced this in reality. Horne and Stedman Jones also found that the majority of respondents (77%) strongly endorsed a ‘relational’ model of leadership in which the primary task of leaders is ‘to shape compelling organisational goals’ and to ‘unlock the potential of others to achieve them’.

This work harmonises with transformational leadership, a conceptualisation of leadership that is typically traced to the work of Burns (1978). Bass (1981) provides an appreciation of the essence of this style of leadership by asserting that transformational leaders are often described as ‘visionaries’, ‘leaders of reform’, ‘innovators’, ‘movers and shakers’ or, even, ‘heroes’. Adlam (2003) notes that transformational leaders can ‘tap into’ or create the goals, motives and values of followers in order to influence them so that they, the followers, act in the ways desired by the leader. In addition as the followers respond a mutually beneficial relationship develops—a relationship that brings leaders and followers closer together.

Alimo-Metcalfe (2002) underlined the contrast between the traditional ‘transactional’ models of leadership and the new paradigm models which highlight the ‘visionary’ or ‘charismatic’ transformational aspects of leadership. The older models tended to have a ‘favour-for-favour’ bargaining character whilst the new models enjoin leaders to engage with people that ‘take them with the leader’. Alimo-Metcalfe developed a United Kingdom model of transformational leadership of fourteen dimensions to explore this concept of leadership further.

This research was updated in 2005 to produce a ‘post-heroic model of transformational leadership’, and the new model is included as an appendix to this chapter. The new model is stated to be gender-inclusive and based on a near-by rather than a distant or heroic approach to leadership. It recognizes the significance of Greenleaf’s concept of servant leadership, to which we have already referred, and focuses on the development of the individual in an organisational context.

The Alimo-Metcalfe Model (2002)
In this model, the transformational leader shows genuine concern for others’ well-being and development, and:

- Empowers, delegates and develops others’ potential
- Shows transparency, honesty and consistency
- Has integrity and an openness to ideas and advice
- Is accessible and approachable
- Is an inspirational communicator, a networker and achiever
- Unites through a joint vision
- Clarifies individual and team direction, priorities and purposes
- Creates a supportive learning and self-development environment
- Manages change sensitively and skillfully
- Is charismatic and ‘in touch’
- Encourages questioning as well as critical and strategic thinking
- Is both an analytical and creative thinker
- Is both decisive and a risk taker.

Bass (1998) and Alimo-Metcalfe and Alban-Metcalfe (2000) have noted that there is a strong link between a leader demonstrating these aspects of conduct and a number of positive work attitudes on the part of their followers. Moreover, transformational leaders inspire their followers to find ways of satisfying higher-order needs such as self-esteem and self-actualisation. (See before in this document for Maslow’s hierarchy of needs.)

Post heroic transformational leadership (Metcalfe, 2005)
In this model, six factors emerging from new research on leaders in the NHS and local government were interpreted as:

1. Valuing individuals
2. Networking and achieving
3. Enabling (empowers, delegates, develops potential)
4. Acting with integrity
5. Being accessible

Leaders and followers
To James MacGregor Burns, transforming leadership “is a relationship of mutual stimulation and elevation that converts followers into leaders and may convert leaders into moral agents”. The hypothesis here is that the transformational leader not only sets and maintains standards, but that the standards relate to a higher realm of endeavour. The transformational leader creates meaning which is defined in terms of a visionary purpose, and a higher ideal which invokes greater commitment and effort by its attraction.
Burns suggested that:

“[Transforming leadership] occurs when one or more persons engage with others in such a way that leaders and followers raise one another to higher levels of motivation and morality...”

Burns sought his examples of transformational leadership in the political arena, identifying such leaders as Mahatma Gandhi, Martin Luther King and John Fitzgerald Kennedy as capable of transforming the expectations and ambitions of their followers. Indeed, one of Kennedy’s most famous quotations is an almost paradoxical reversal of transactional leadership.

“Ask not, what your country can do for you. Ask rather, what you can do for your country.”

There is an echo of Churchill’s famous promise to the British people in 1940, when Nazi invasion and conquest seemed imminent:

“I have nothing to offer you but blood, toil, tears and sweat.”

In the police context, we quote the reformist (and perhaps under-estimated) police leader Sir Robert Mark, Commissioner of the Police of the Metropolis, who is reported to have said:

“The police can only win by appearing to lose.”

This is hardly a maxim to be taken literally. We should not expect a police commander, for example, to inform his or her officers that they were expected to ensure that a police operation failed in its intent. Nevertheless, if the police are seen as too officious, powerful or overbearing, then the public will not support them. If they attract public sympathy and understanding, however, then they will be successful in the long run. Metropolitan Police DAC John Grieve (Adlam and Villiers, 2003) further developed this view.

“The model of the leader as omnipresent and perhaps charismatic hero may be appropriate when asserting moral leadership, or achieving cultural change in particularly challenging circumstances. But the more general task of the police leader in the twenty-first century, even in a situation of shared crisis, may be the decidedly less heroic, if more challenging, task of validating the teamwork of others by means of modesty, prudence and rationality.”

In an organisation like the Police Service, the personal history and reputation of its leaders is important in establishing credibility. Leaders must prove that they can lead; and in the police context, this means that they must be able to demonstrate that they have faced and withstood the pressures of police work itself. As a result of his transformational leadership in three areas, John Grieve had credibility. He could therefore adopt a high-risk strategy, or take up a stance with which his followers might not agree, without losing their respect. Was this the practice of transformational leadership, in a police context? We think so; and it is mirrored in the everyday command of policing.

Transformational leadership in practice

Transformational leadership is a process in which the leaders take actions to try to increase their followers’ awareness of what is right and important, to raise their motivational maturity and to move them to go beyond their own self-interests for the good of the group, the organisation, or society. Such leaders provide their followers with a sense of purpose that goes beyond a simple exchange of rewards for effort provided.

How should transformational leadership be practised? Much will depend on the personality of the leader and his or her relationship with the group in question, and the suggestions that follow on the next page are of broad applicability only.

---

3 The areas of intelligence-led policing; counter-terrorism; and race and diversity.
<table>
<thead>
<tr>
<th>Transformational Style</th>
<th>Leader Behaviour</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>1. Idealized Behaviours:</strong> living one’s ideals</td>
<td>• Talk about their most important values and beliefs</td>
</tr>
<tr>
<td></td>
<td>• Specify the importance of having a strong sense of purpose</td>
</tr>
<tr>
<td></td>
<td>• Consider the moral and ethical consequences of decisions</td>
</tr>
<tr>
<td></td>
<td>• Champion exciting new possibilities</td>
</tr>
<tr>
<td></td>
<td>• Talk about the importance of trusting each other</td>
</tr>
<tr>
<td><strong>2. Inspirational Motivation:</strong> inspiring others</td>
<td>• Talk optimistically about the future</td>
</tr>
<tr>
<td></td>
<td>• Talk enthusiastically about what needs to be accomplished</td>
</tr>
<tr>
<td></td>
<td>• Articulate a compelling vision of the future</td>
</tr>
<tr>
<td></td>
<td>• Express confidence that goals will be achieved</td>
</tr>
<tr>
<td></td>
<td>• Provide an exciting image of what is essential to consider</td>
</tr>
<tr>
<td></td>
<td>• Take a stand on controversial issues</td>
</tr>
<tr>
<td><strong>3. Intellectual Stimulation:</strong> stimulating others</td>
<td>• Re-examine critical assumptions to question whether they are appropriate</td>
</tr>
<tr>
<td></td>
<td>• Seek differing perspectives when solving problems</td>
</tr>
<tr>
<td></td>
<td>• Get others to look at problems from many different angles</td>
</tr>
<tr>
<td></td>
<td>• Suggest new ways of looking at how to complete assignments</td>
</tr>
<tr>
<td></td>
<td>• Encourage non-traditional thinking to deal with traditional problems</td>
</tr>
<tr>
<td></td>
<td>• Encourage rethinking those ideas which have never been questioned before</td>
</tr>
<tr>
<td><strong>4. Individualized Consideration:</strong> coaching and development</td>
<td>• Spend time teaching and coaching</td>
</tr>
<tr>
<td></td>
<td>• Treat others as individuals rather than just as members of the group</td>
</tr>
<tr>
<td></td>
<td>• Consider individuals as having different needs, abilities, and aspirations from others</td>
</tr>
<tr>
<td></td>
<td>• Help others to develop their strengths</td>
</tr>
<tr>
<td></td>
<td>• Listen attentively to others’ concerns</td>
</tr>
<tr>
<td></td>
<td>• Promote self development</td>
</tr>
<tr>
<td><strong>5. Idealized Attributes:</strong> respect, trust, and faith</td>
<td>• Instill pride in others for being associated with them</td>
</tr>
<tr>
<td></td>
<td>• Go beyond their self-interests for the good of the group</td>
</tr>
<tr>
<td></td>
<td>• Act in ways that build others’ respect</td>
</tr>
<tr>
<td></td>
<td>• Display a sense of power and competence</td>
</tr>
<tr>
<td></td>
<td>• Make personal sacrifices for others’ benefit</td>
</tr>
<tr>
<td></td>
<td>• Reassure others that obstacles will be overcome</td>
</tr>
</tbody>
</table>

*Transformational Leadership Styles and Behaviours*
*Bass and Avolio, 1994*
PLQF is an extension of the ICF; the basis for a doctrine of British police leadership; and a means to improve the quality of British police leaders.

Not all improvements in police performance are necessarily attributable to an improvement in the quality of leadership provided. Our task in developing PLQF has not been to improve the quality of British policing by any means possible, but to improve the performance of police leaders. How does PLQF assist in this process?

- It provides an objective and reliable body of knowledge on leadership, based on a chronicled history of leadership development;
- It relates that knowledge to the theory and practice of police leadership, enabling police leaders to know what works and what doesn’t;
- It lays out a developmental path for police leaders, showing how leadership changes with increased seniority, and emphasising the need for self-awareness and self-development;
- It examines a comprehensive range of styles of leadership and enables the police leader to choose the appropriate style for the appropriate occasion;
- It clarifies the differences between transactional and transformational leadership and enables police leaders to make use of both styles to best effect;
- It anchors police leadership to a binding ethical framework, exploring the fundamental characteristics of integrity in the police context and placing the achievement of performance with integrity at the core of police leadership; and
- It recognises the need for police leaders to adapt to, and to reflect, changes in our late modern and diverse society in order for them to continue to be able to police by consent.

We should further note that transformational leadership:

- Is extremely challenging;
- Is not the same as charismatic or heroic leadership;
- Emphasizes the moral obligations of the leader; and
- Stresses the need for a positive relationship between leaders and followers and the need for two-way communication between them.

The practice of successful leadership is an art in which good leaders find what works for them. At the same time, as in any art, leadership evolves over time. Francis Fukuyama argued in ‘The End of History’ that the evolution of nations such as the United States of America towards the supposedly ideal state of ‘democratic capitalism’ was a signal that Utopia had been achieved and that there would be no further evolution.

The study of history must indicate him to be wrong.

In the same way, although transformational leadership is the leadership style strongly recommended for the Police Service at the start of the 21st century, we must recognise that leadership theory will continue to evolve, and that transformational leadership is not the final stage of its development. The practice of good leadership will remain a challenge to be resolved only by those who dedicate themselves to mastering not only the technical skills that it requires, but also the knowledge and mastery of oneself that remains the final frontier.

Concluding remarks: Culture, climate and context

In our synthesis of leadership theory for the Police Service in the 21st Century we have argued that transformational and democratic leadership, as a preferred style to sit within a situational approach to leadership, offers the best opportunity for developing police personnel to meet the demands of policing a late-modern, complex society.
Appendix to Chapter Six
A Post Heroic Model of Transformational Leadership

PERSONAL QUALITIES
Being Honest and Consistent
Acting with Integrity
Being Decisive
Inspiring Others
Resolving Complex Problems

LEADING & DEVELOPING INDIVIDUALS
Showing Genuine Concern
Enabling
Being Accessible
Encouraging Change

LEADING & DEVELOPING THE ORGANISATION
Networking and Achieving
Focusing Team Effort
Building Shared Vision
Supporting a
Developmental Culture
Facilitating Change Sensitive

KS = KNOWING SELF
KI = KNOWING INDIVIDUALS
KO = KNOWING THE ORGANISATION

A POST-HERIOC MODEL OF
TRANSFORMATIONAL LEADERSHIP
© Leadership Research and Development Ltd 2004
We are grateful to Dr Robert Adlam, former director of the Special Course at the Police Staff College, Bramshill, for the research that provided the foundation for this survey.

Secondly, we have extensive made use of the framework provided by the Centre for Leadership Studies at the University of Exeter, as summarised in its Review of leadership theory and competency frameworks, Bolden R., Gosling J., Marturano A. and Dennison P. (June 2003), as further cited where used.

Other references follow.


ACPO (1990) Strategic Policy Document: Setting the Standards for Policing: Meeting Community Expectations, HM SO


Barker A. (1997) ‘How do we train leaders if we do not know what leadership is? Human Relations 50(4) pp 343-62


Fullan M. 2001b) *The New Meaning of Educational Change*, Routledge


Mintzberg et al. (1998), *Strategy Safari*, Prentice Hall


Selznick P. (1957), *Leadership in Administration*, Row Peterson


Souryal S. (1976) ‘A plausible concept for police leadership education—the British (Bramshill) model’ *Journal of Police Science and Administration* Vol 4 No 4 Pages 373 to 381


