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Faculty of Social, Human and Mathematical Sciences

Department of Education

Police Middle Management Leadership: A Case of Arrested Development?

Sarah Louise Clapham

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ABSRACT

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POLICE MIDDLE MANAGEMENT LEADERSHIP: A CASE OF ARRESTED
DEVELOPMENT?

By Sarah Louise Clapham

Leadership and leadership development in the modern police service has
been regularly reviewed under successive government reform agendas. To
date there has been no robust evaluative study in the UK policing context of
the effectiveness of particular leadership styles or of leadership development
programmes. This research evaluates a Hampshire Constabulary leadership
development programme for middle managers, namely police Sergeants,
and studies the broader aspects of leadership development at this middle
management level, focusing on the knowledge, understanding and skills
required to apply leadership in the contemporary policing context and as
defined by the Hampshire Constabulary Leadership Charter.

  The case study used one-to-one interviews and focus groups with key
stakeholders involved in the leadership training and development of police
officer middle managers: a cohort of officers at different stages both before
and after the Leadership and Management Programme (First Line Manager -
Level 1); their subordinates and line managers; training staff; the Hampshire
Constabulary Leadership and Professional Development Manager; and Chief
Constable. The fieldwork was supported by documentary analysis of relevant
training material and national reports.

  Three main themes emerged that advance leadership and leadership
development theory in the policing context: a trait-based skills model of
leadership which was supported by the terms of the Constabulary's
Leadership Charter; the police officer middle manager as 'intermediary'
between frontline practitioners and senior management; and the positive
relationship between factors which enhance police officer middle manager
performance and their perceived leadership self-efficacy. The ability to
effectively manage emotions is also key to effective police middle
management leadership performance.

  A framework for a detailed model of effective leadership development for
police officers at middle management level is proposed which recognises
their influential role in supporting staff and managing organisational change
during a period of wider public sector reform.

For my husband, Iain, whose love has supported and encouraged me throughout, and for whom every year of my studies has meant another year without a new paddleboard!

"To thine own self be true, and it must follow, as the night the day, thou canst not then be false to any man."

William Shakespeare

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Declaration of Authorship

I, Sarah Louise Clapham, declare that this thesis and the work presented in it are my own and has been generated by me as the result of my own original research.

'Police Middle Management Leadership: A Case of Arrested Development'

I confirm that:

1. This work was done wholly or mainly while in candidature for a research degree at this University;
2. Where any part of this thesis has previously been submitted for a degree or any other qualification at this University or any other institution, this has been clearly stated;
3. Where I have consulted the published work of others, this is always clearly attributed;
4. Where I have quoted from the work of others, the source is always given. With the exception of such quotations, this thesis is entirely my own work;
5. I have acknowledged all main sources of help;
6. Where the thesis is based on work done by myself jointly with others, I have made clear exactly what was done by others and what I have contributed myself;
7. None of this work has been published before submission.

Signed: ....

Date: ....

Acknowledgements

Abbreviations

PCC	Police and Crime Commissioner
MASH	Multi-Agency Safeguarding Hub
COP	College of Policing
NPM	New Public Management
PPF	Policing Professional Framework
DPI	Dynamic Personality Inventory
EI	Emotional Intelligence
MSCEIT	Mayer-Salovey-Caruso Emotional Intelligence Test
SLII	Situational leadership II Model
LEAD	Leadership Effectiveness and Adaptability Description
LPC	Least Preferred Co-Worker
MLQ	Multi-Factor Leadership Questionnaire
RCMP	Royal Canadian Mounted Police
CID	Criminal Investigation Department
NHS	National Health Service
CPD	Continued Professional Development
TLQ	Transformational Leadership Questionnaire
OSPRE	Objective Structured Performance Related Examination
CLDP	Core Leadership Development Programme
CMI	Chartered Management Institute
FSL	Foundation for Senior Leaders Programme
SLP	Senior Leadership Programme
PNAC	Senior Police National Assessment Centre
HPDS	High Potential Development Scheme
MBTI	Myers-Briggs Type Indicator
NOS	National Occupational Standards
PSD	Professional Standards Department
CIPD	Chartered Institute for Personnel and Development
PLQF	Police Leadership Qualities Framework
US	United States
JOU	Joint Operations Unit
SNT	Safer Neighbourhood Team

CARM	Computer Aided Resource Management
PDR	Performance Development Review
L&PDM	Leadership and Professional Development Manager
PA	Personal Assistant
CD	Compact Disc
ERGO	Ethics and Research Governance Online
IRGA	Insurance and Research Governance Assessment
SSEGM	Social Sciences, Education, Geography and Mathematics
OCP	Organisational Change Programme
NDM	National Decision Making Model
GBH	Grievous Bodily Harm
DS	Detective Sergeant
DI	Detective Inspector
PS	Police Sergeant
GROW	Goal, Reality, Options, Way Forward
RMS	Records Management System
SWOT	Strengths, Weaknesses, Opportunities, Threats
SOPO	Sexual Offences Prevention Order
RTC	Road Traffic Collision
DCI	Detective Chief Inspector
PC	Police Constable
MDT	Mobile Data Terminal
HR	Human Resources
CDI	Crime Data Integrity
DC	Detective Constable
LSE	Leadership Self-Efficacy
NPPF	National Policing Promotion Framework

1. Introduction

1.1 Context

I am a serving Police Inspector with Hampshire Constabulary with 25 years' experience. I have worked in a variety of roles including patrol, training, and in partnership with colleagues from other public sector agencies in the Constabulary's Public Protection Department that is responsible for tackling, for example, child sexual exploitation and domestic abuse. I am currently a Force Incident Manager (FIM) in the Police Control Room (PCR) based at the Southern and Support Training HQ in Southampton. I manage a team of 40 members of staff who are responsible for taking both 999 and 101 calls from members of the public in Hampshire and the Isle of Wight, and for dispatching police officers to those calls for service. It is my responsibility to ensure the effective deployment of appropriate and available resources, and to manage the initial response to serious, critical and major incidents including, for example, high risk missing people and firearms incidents. In all these roles, I have been required to lead and manage individuals and teams but with the minimum of formal leadership development compared to that mandated for my senior colleagues of Chief Inspector and above (see Section 2.4.1).

My interest in leadership was prompted by a project commissioned by the Chief Constable to develop a 'Leadership Charter' which would set out the Chief Constable's leadership expectations for people at all levels of the Constabulary (see later). At the same time, the Constabulary was preparing for significant cuts to the policing budget and was set to make dramatic changes to the structure of the organisation. There was lots of talk about 'leadership' but no clear definition of the term, nor was it clear what type of leadership was expected, by whom, and at what level, during the organisational changes to come. 'Leadership', it seemed, was being promoted as the 'solution' to the current challenges but with no more detail than that (e.g. Haake *et al.* (2015)). As the organisational restructuring would also see a number of 'back office' functions reduced and many tasks

devolved to other ranks and roles within the Constabulary, I was also interested in how this would impact on the middle management role, given the disparity in leadership development between this level and senior management.

In July 2010, the Government published the consultation document 'Policing in the 21st Century: Reconnecting Police and the People' which set out what the Home Secretary described as "the most radical changes to policing in 50 years" (Home Office (2010)). The reforms included, for example, the introduction of directly elected individuals – Police and Crime Commissioners (PCCs) – for each police force in England and Wales, and the removal of Government targets and excessive centralised performance management, reduced bureaucracy, and restoration of professional judgement and discretion. At the same time the huge financial deficit has necessitated reduced funding to police forces and the requirement for individual forces to cut costs (H M Inspectorate of Constabulary (2011)). A review of remuneration and conditions of service for police officers and staff (Winsor (2012)) and the review of public sector pensions (Hutton (2011)) combined with the above reforms and budget cuts have provided immense challenges for police leaders.

The rapidly shifting context of policing in the interim years has continued to test leadership at all levels of the police service and thus police leadership has attracted much government scrutiny and internal review (e.g. House of Commons Home Affairs Committee (2013)). The review of pay and pension conditions, a pay freeze between 2010 and 2013, and the loss of competence-related and specialist role payments has led to a decline in police morale. Maintaining morale in times of major organisational change is vital in ensuring the support of the workforce and more importantly guaranteeing public safety. Morale during this period has also been affected by a number of high profile incidents and historical police failings that have put the spotlight on police leadership. Amongst these are, notably, the revelations of the Independent Panel Report on the Hillsborough Disaster (Hillsborough Independent Panel (2012)) and subsequent conclusion of the

inquests in 2016 that fans were unlawfully killed, and Operation Elvedon, the investigation into alleged criminal offences that police officers accepted money for supplying information to journalists. Public awareness of these and other police misconduct cases raised questions about police integrity and standards and led to the introduction in 2014 of the Code of Ethics that set out the principles and standards of behaviour expected from police professionals (College of Policing (2014)). The role of leadership in promoting ethical police behaviour has never been so important to maintain public confidence in the service (Porter *et al.* (2015)).

The need for effective and sustainable leadership in policing is also key in meeting the challenges of new and future trends that impact on policing. Reduced resources in the public sector are leading to greater integration and collaboration of public services. In Hampshire, for example, Multi-Agency Safeguarding Hubs (MASH) have been developed, co-locating police teams responsible for managing child and vulnerable adult abuse and domestic abuse with their colleagues from Children's Services, Adult Services, Health and other agencies. Police leaders are therefore not only required to supervise police officers and staff but are now required to manage and collaborate with partners to deliver services. Rising public expectation now requires police leaders to consider novel and innovative ways of meeting increased demand for services whilst keeping abreast of the rapid advances in technology. There is also be a need to understand the changing face of crime, in particular the increasing use of the internet in, for example, cybercrime and online child abuse.

Prompted by these contemporary issues and the constantly evolving threats from terrorism and organised crime, the College of Policing (COP) conducted a review of leadership in the police service (College of Policing (2015)) and identified that a fundamental change was required in the way the whole police workforce is equipped with leadership skills and knowledge. No single style or model of leadership was put forward, instead a collective model of leadership was described that shifts power to all levels and improves two-way communication. This echoed the approach to leadership proposed by

Hernez-Broome and Hughes in a review of leadership development for the Centre for Creative Leadership (Hernez-Broome and Hughes (2004)). The authors identified that leadership in the future "will be understood as the collective capacity of all members of an organisation to accomplish such critical tasks as setting direction, creating alignment and gaining commitment" (p.31). This would require a completely different focus to the established police leadership development approach of the past, one in which "the focus has to move beyond simply hiring and developing individuals at a generic level to developing an organisational culture of leadership and an approach to leadership that emphasises the kinds of behaviours and approaches desired in leaders and the way in which the organisation wishes to translate leadership into performance on the ground" Neyroud (2011, p.106). In August 2013, appearing to support the view of leadership proposed by Hernez-Broome and Hughes and Neyroud, and prior to the College of Policing review, Hampshire Constabulary introduced a Leadership Charter that focused on leadership at all levels of the service (Appendix A). The Charter stated that people who work for the Constabulary will:

- Be visible, proactive and provide clear direction,
- Be fair and inclusive, promoting equality,
- Be prepared to learn, welcoming new ideas,
- Tackle poor performance and behaviour, sooner rather than later,
- Take responsibility for actions, even when things go wrong, and
- Be genuine and consistent in their decision making.

The Hampshire Constabulary Charter defined a set of leadership principles for all employees from across the force to embrace. However, whilst recognising and recommending that a new national model of leadership and leadership training and development accessible to all was required, the College of Policing review stopped short of describing what this would look like. In common with similar reviews of leadership and leadership development in the police service in previous years, including the former

national leadership strategy 'Leading Policing: A Strategy for the 21st Century' (National Police Improvement Agency (2008)) and Neyroud's 'Review of Police Leadership and Training' (Neyroud (2011)), much of the emphasis was placed on senior leadership. Although the 2015 review highlighted the situation for frontline supervisors who are "arguably the most important level at which to establish leadership skills and approaches" (p.30) the review admitted that this was a 'development-free zone'. As many of the recommendations for change and the future context of policing impact to devolve more and more responsibilities to Sergeants and Inspectors, it is this middle management layer, in particular Sergeants, that will be the focus of this study. As Hogan *et al.* (2011) state "police reform will be extremely difficult to achieve without the involvement of middle management," organisational change may be led by senior management but "without the emotional commitment to, or ownership of, the new vision by middle managers a compelling rationale for change cannot be delivered to frontline officers who are in charge of bringing the organisation's vision to life" (p.2).

In 2005, Sergeants were the subject of a study by Butterfield *et al.* (2005) following the introduction of 'new public management' (NPM) techniques within the police service since the late 1990s. NPM developed in the late 1980s and early 1990s as a significant trend within western governments resulting in a change to the way public sector organisations were managed and administrated. Brain ((2010), p.158) commented that NPM meant "effectively a strong dose of private sector techniques, including short-term contracts, and performance-related pay for employees and managers, and an intrusive performance monitoring regime, which would shake complacency, turf out inefficient managers and practices, and deliver the philosopher's stone of increasing public sector output whilst reducing public sector expenditure." In 1993 the White Paper: Police Reform: A Police Service for the Twenty First Century (Home Office (1993)) saw an attempt to apply NPM to the police service, recommending reforms to the organisation and constitution of police forces (Leishman *et al.* (1995)). Prior to 1995 and the NPM reforms, the Sergeant's role was primarily that of an operational police officer with first-line supervisory responsibility for the welfare and

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discipline of a team of constables, for their mentoring and training, and for team leadership. NPM devolved some management responsibility to Sergeants elevating them from a position of 'custodian' of their constables to 'practitioner-manager'. Although Sergeants became increasingly responsible for the management of their staff and for the delivery of policing, the introduction of a key feature of NPM – performance management – resulted in "less frequent contact with their constables than before, as they were confined more to their desks engaged in 'firefighting', routine paperwork and maintaining computer record systems" (Butterfield *et al.* (2005), p.338). In particular, Butterfield *et al.* (2005) found that Sergeants received little training for their new responsibilities and were often overloaded having to balance these new obligations alongside the routine duties of an operational police Sergeant. Where NPM attempted to "create a new culture of service and customer focus with leadership from first-line managers: police Sergeants" (p.332), in fact Sergeants had less autonomy and limited ability to provide leadership and support to their constables due to the requirement to work to targets and performance indicators.

Though the reforms set out in 2010 (Home Office (2010)) removed the performance management regime imposed through the introduction of NPM, the shifting context of policing continues to place demands on the police Sergeant, placing them in a key leadership role. They provide a vital link between frontline staff and senior management and the quality of their leadership has the ability to affect the work environment and delivery of service to the public. In particular they have the ability to impact staff morale, promote standards and influence staff attitudes to change. Though the police service continues to regularly review and reform strategies on leadership and leadership development, arguably there appears to have been little impact on the quantity, quality and coordination of leadership development at the middle management level. Investment in leadership and leadership development at middle management level is critical in benefiting the individual and the police service as a whole but equally research in this field appears to be limited. Research on police leadership has mainly been confined to law enforcement agencies in North America and is limited in the

UK police sector. Most studies have considered junior officers' attitudes towards those in senior positions, testing the impact of individual leadership styles, behaviour and competency (e.g. Engel (2001)). In the main, the findings suggest "that the ability to apply different leadership styles, including transactional, to suit different contexts is the key to great police leadership" (Neyroud (2011), p.33). Research by the Home Office (Dobby *et al.* (2004)), for example, suggested four areas that can be linked to effective leadership:

- Being committed to achieving a high quality service to the community and supporting staff to achieve this.
- Displaying high personal and professional standards and challenging poor behaviour.
- Enabling, valuing and developing staff.
- Having relevant knowledge and skills.

However, to date there has been no robust evaluative study in the UK policing context of the effectiveness of particular leadership styles or of leadership development programmes. Research in the policing context has largely been perception based with no evidence of the subsequent performance of individuals and their changed behaviour, or of actual impact in the workplace. As discussed, middle management leadership and leadership development has largely been ignored in the police service reviews and has only been the subject of one thematic inspection by Her Majesty's Inspectorate of Constabulary (HMIC), 'Leading from the Frontline' (H M Inspectorate of Constabulary (2008)). Although HMIC concluded that "there are strong elements of leadership required for effective frontline supervision" (p. 133), again no specific leadership development recommendations were made and the consensus was "that some people simply possess inherent personal character traits that enable them, regardless of their experience and technical knowledge, to inspire, motivate, coach, set and maintain standards and lead from the frontline" (p.133).

1.2 Aim

The aim of this research therefore is to evaluate a Hampshire Constabulary leadership development programme for middle managers, namely police Sergeants, and to study the broader aspects of leadership development at this middle management level, focusing on the knowledge, understanding and skills required to apply leadership in the contemporary policing context and as defined by the Hampshire Constabulary Leadership Charter.

1.3 Objectives

I will pursue the aim through nine key research objectives, collecting different types of data: from analysis of training documents and materials, and a range of target groups and stakeholders including a cohort of officers at different stages both before and after the Leadership and Management Programme (First-Line Manager - Level 1), their subordinates and line managers, training staff, the Hampshire Constabulary Leadership and Professional Development Manager, and Chief Constable. The objectives are to:

- Explore understanding of the term 'effective leadership'.
- Identify the leadership style(s)/model promoted by the Hampshire Constabulary Leadership Charter.
- Examine the content and context of the leadership development programme.
- Identify the most and least useful aspects of the training programme.
- Identify assessment methods used in the training of leadership both in the classroom and in operational practice.
- Explore how officers' knowledge and understanding changes as a result of the leadership development programme.
- Investigate how learning in relation to knowledge and understanding of effective leadership is transferred and put into practice.
- Investigate the impact of the leadership development programme on leadership performance in the workplace.

- Identify key leadership issues for an operational middle manager, including factors that enhance / hinder performance.

These research objectives will be used to formulate the wording and sequencing of interviews used in the data collection.

1.4 Key Questions

Analysis of the data will attempt to answer the following five key questions:

What leadership model is perceived to be associated with effective police leadership in Hampshire Constabulary?

I will evaluate the Hampshire Constabulary Leadership Charter and identify the leadership style(s) and underpinning theory. I will assess the level to which the Charter promotes the leadership competencies defined in the current national UK police Leadership Strategy (National Police Improvement Agency (2008)), and those defined in the Policing Professional Framework (PPF), which is used in internal appraisal, selection and promotion processes.

To what extent does the leadership development programme deliver the knowledge, understanding and skills associated with the identified leadership model?

I will evaluate the leadership development programme as a learning environment and assess the extent to which the learning outcomes deliver the knowledge, understanding and skills for effective leadership. I will examine the strengths and weaknesses of the programme in providing a positive learning experience.

How is the learning acquired in the classroom in relation to the knowledge and understanding of effective leadership put into practice in the workplace?

I will explore understanding of the key term 'effective leadership' and whether this differs depending on the research participant's role. By analysing data

from officers at different stages pre and post the leadership development programme, I will explore how knowledge and understanding develops and will identify any influencing factors, for example previous work and life experience.

What factors impact on workplace learning and development in relation to effective leadership practices?

I will identify factors that enhance or hinder learning in relation to effective leadership in the workplace. I will investigate the support and guidance provided by Trainers and line managers and will explore their knowledge of the training process, identifying any barriers that exist, for example in feedback and communication links, mentoring or assessment.

How effective is the leadership development programme in changing leadership performance in the workplace?

By analysing data from officers at different stages pre and post the leadership development programme, I will explore the impact of officers' subsequent behaviour in the workplace and will investigate how effective leadership performance is perceived by their subordinates and line managers. I will identify obstacles that inhibit individuals' efforts to be effective leaders, and those factors that promote leader self-efficacy.

1.5 Structure of the Thesis

The thesis is organised in six chapters. Following this introduction, chapter two will review literature on leadership and leadership development in policing, comparing and contrasting with that in other public sector organisations. In chapter three I will discuss my research strategy and methodology. Chapter four will describe the analysis of the findings emerging from my data collection, organised under the nine research objectives. In chapter five I will compare the results with the literature reviewed and the theories identified in chapter two. The discussion is organised under the five key research questions and includes analysis of the main trends and observations, drawing out the three themes emerging from the data. Finally,

chapter six addresses the research aim and presents the main conclusions. I will assess the limitations of the research methodology and discuss recommendations arising from the study, suggesting avenues for future research. A full appendices and bibliography follow chapter six.

2. Leadership, Leadership Development and the Police

2.1 Introduction

In this chapter I will review the literature relevant to my research topic. I will discuss the concepts of 'leadership' and 'leadership development' and in particular critique relevant theoretical and practical applications in the police service and wider public sector.

The first of my key research questions proposes to establish what leadership model is perceived to be associated with effective leadership in Hampshire Constabulary. The Constabulary's Leadership Charter applies generic leadership standards to all roles and ranks within the organisation and in order to understand its value as a leadership model I will review the leadership models and theories that have been applied to the police over the last fifty years, comparing and contrasting with other public sector organisations, and critique their impact on policing and the different roles within it. Public sector organisations, in particular health and education, provide relevant evidence for this study as they are service providers that have been and continue to be subject to similar government reform and cuts in spending. These organisations, like the police, have hierarchical structures characterised by few people at the top and increasing numbers of people in middle management and lower level positions, providing a similar leadership context. Mirroring the rapidly shifting context of policing, there has also been an emphasis on leadership and leadership development in these organisations in recent years to meet the "challenge for delivering high quality services with limited resources, to a more demanding public" (Alimo-Metcalfe and Alban-Metcalfe (2006), p.311).

The remaining key research questions and my focus for this study is on a leadership development programme for 'middle managers' who are potentially in an interesting position between subordinates and senior managers. They are in a testing middle ground position where they have to

manage and mediate expectations and challenges that come from two directions. Arguably, therefore, their leadership needs differ from other roles within the organisation and, in the second half of the chapter, I will describe how leadership development differs for this role in Hampshire Constabulary and analyse relevant literature to provide an understanding of what impacts leadership development at this middle management level.

Overall, the analysis of 'leadership' and 'leadership development' in the policing context will provide a conceptual platform for the research and data analysis.

2.2 Methodology

My review of the literature was not confined to any particular country or countries, however I only included literature published in English and for the period between 1970 and the present day. I also did not confine my search to research of any specific methodological design and included, for example, systematic reviews. I used eight main databases, which included key police and public sector management journals: Emerald, ERIC, National Criminal Justice Service Abstracts, HeinOnline, PsycARTICLES, PsycINFO, Wiley Online Library and Web of Science.

Using Northouse (2013) to familiarise myself with leadership theories applicable to real-world organisations, I developed a set of primary and secondary search terms. The primary terms used were police, law enforcement, public sector, and the secondary terms included leadership, management, leadership development, middle management and the individual leadership theories, for example 'trait'. I completed systematic searches of the databases in ten-year periods, pairing each primary term with each secondary term in the 'title' and 'abstract' keyword fields. In completing this, I was able to refine my review to only those theoretical concepts and literature pertaining to policing with supporting literature from the public sector.

I included but did not confine my searches to the middle management level so that the review includes all ranks from the frontline to the senior managers enabling me to compare and contrast the different management levels, and note any differences and/or similarities. I also included scholarly books on leadership and research reported in organisational reports from both the police and public sector.

2.3 Leadership

The research fields of leadership and theories of the leadership process are vast and embarking on a review of the literature is an overwhelming experience. Leadership has been studied in one form or other for centuries and there still appears to be no one consensus regarding its definition. Over the decades many themes have come to the forefront as researchers and scholars have tackled the common problem of a single definition for leadership: from an individual's personality traits, through the realisation of organisational goals, to a transformational process whereby leaders inspire followers to accomplish great things.

Based on the many ways leadership can be conceptualised, Northouse (2013) defines leadership simply as "a process whereby an individual influences a group of individuals to achieve a common goal" (p.5). The Leadership Academy for Policing (now part of the College of Policing) defines leadership as follows:

"Leadership is the ability to effectively influence and combine individuals and resources to achieve objectives that would be otherwise impossible" (Leadership Academy for Policing (2006b), p.2).

The key elements of the policing definition mirror those of Northouse:

- Influence – how the leader affects followers,
- Combine – a 'process' of interaction between the leader and follower to achieve objectives, and

- Accomplish – getting the job done; achieving the common goal.

In policing, the terms 'leadership', 'command' and 'management' are in common use and, in practice, often used interchangeably. I do not intend to define the terms 'command' and 'management'; instead my review of the literature assumed a definition of leadership that combines all three aspects as it is "not simply about the leader 'taking command', nor is it all about managing resources effectively and providing supervision" (Leadership Academy for Policing (2006), p.2).

2.3.1 Leadership as a Trait

The investigation of personality traits and their relation to leadership was of interest throughout the twentieth century, and was the first systematic attempt to determine what made certain people great leaders. The earliest studies hypothesised the "great man" theory and focussed on identifying the innate characteristics and qualities possessed by the great leaders of social, political and military history, e.g. Gandhi, Abraham Lincoln and Napoleon Bonaparte. The pure trait theory of leadership, and the belief that leaders were different to non-leaders in various personality characteristics and attributes, persisted until the 1940s. From that point the theory began to be challenged and subsequent studies determined that no one consistent set of traits distinguished a leader from a non-leader across a variety of situations.

In the first major review of the literature on leadership as a trait, Stogdill (1948) ascertained that the traits of leadership are determined by and relevant to the demands of the situation in which the leader is functioning. In particular, Stogdill identified that the average person occupying the role of leader exceeds the average member in the group in eight different traits: intelligence, alertness, insight, responsibility, initiative, persistence, self-confidence and sociability. The emphasis changed from considering leadership as a passive state to the working relationship between the leader and the group. However, the relationship between personality traits and leadership continued to be of interest to researchers and a number of

subsequent reviews identified personality traits that could be used to distinguish leaders from non-leaders. Mann (1959) placed less emphasis on situational factors and identified intelligence, masculinity, adjustment, dominance, extraversion and conservatism as dominant traits. In their research, Lord *et al.* (1986) identified that intelligence, masculinity-femininity and dominance were important predictors of leadership perceptions.

In 1974 Stogdill published a further review of new literature and argued that leadership was determined by both personality and situational factors (Stogdill (1974)). Comparing his findings to those of his first study, Stogdill identified ten characteristics that were positively associated with leadership: achievement, persistence, insight, initiative, self-confidence, responsibility, cooperativeness, tolerance, influence and sociability. The similar results of both the 1948 and 1974 study "made it reasonable to conclude that many cognitive, social, and emotional traits differentiated leaders from followers, successful from unsuccessful and high-level from low-level leaders" (Bass and Bass (2008), p.101) . Later research by Kirkpatrick and Locke (1991) furthered the view that certain traits, in their case drive, motivation, integrity, confidence, cognitive ability and task knowledge, make some people different from others and that this difference should be recognised as an important part of the leadership process. A practical application of this conclusion, and one that is relevant in policing, was the introduction of assessment centres to determine leadership potential for managerial positions (e.g. Bray and Grant (1966)).

Police leadership research largely developed in North America in the 1970s and one of the earliest studies of the relationship between personality traits and leadership was by Hooke and Krauss (1971). This study, like similar police related research of the time, was conducted against a background of social unrest, the civil rights movement of the previous decade, and the early development of community policing. On the one hand was the demand for "law and order", and on the other the competence and humanity of the police were being called into question. There was also recognition then, which prevails today, of a culture specific to the police, a "police mentality". Hooke

and Krauss argued that this was "evidence that personality factors may be quite important in the selection of police personnel" (p.104). A number of personality assessment tests were administered to a small group of male police officers, all eligible for promotion to the rank of Sergeant. The same tests were also administered to a control group of unsuccessful Sergeant candidates. The results showed that the successful candidates "tend to depend more upon themselves, appear more self-confident, are more sensitive in interpersonal relationships, and are more outgoing and genial" (p.105). Individuals described themselves as "capable, cooperative, dependable and practical" (p.105). Police research up to and around this time had concentrated on identifying the personality traits and characteristics of an effective police officer (Matarazzo *et al.* (1964), Baehr *et al.* (1968), Hogan (1971), Hogan and Kurtines (1975)). Interestingly, Hooke and Krauss also concluded that those police officers "who were seen as good policemen were also regarded as potentially good Sergeants" (p.105).

Mills and Bohannon (1980) characterised effective police officers as "bright, assertive, autonomous, self-assured, responsible, and level-headed individuals" (p.683). The authors concluded that highly rated police officers possessed two particular characteristics: achievement (achievement via independence) and functional intelligence (intellectual efficiency). They argued that "these two scales have appeared repeatedly in studies assessing leadership and/or police effectiveness, suggesting that a limited set of characteristics is common to all leaders and is stable across situations" (p.683). It is clear that the underlying theme in the development of police leadership research was the idea that there was a particular set of personality traits that differentiated effective police leaders. This is evidenced by a number of early research studies that involved administering general personality tests, or personality inventories, to police officers before, during and after executive development/leadership training programmes (Price (1974), Price and Adelberg (1977)) . The common research themes in each case were to identify differences between the personality characteristics of police executives and the general population; and determine the stability of certain personality traits after exposure to leadership development training.

Newman *et al.* (Newman *et al.* (1973a), Newman *et al.* (1973b)) administered a Dynamic Personality Inventory (DPI) to 127 senior police personnel to identify selected personality traits before and changes after their attendance on a four-week leadership course. The course, held at a State University, comprised a variety of classroom based activities including for example lectures, group problem-solving tasks and round-table discussions, and was considered to give the trainees a "broader view of society and human needs as they relate to the functioning of law enforcement personnel in a rapidly changing world" (p.16). The DPI was developed by Grygier (1956) and consists of a list of 324 items. The list is given to a person in an apparently random order and the person is asked to mark their reaction to the items in terms of 'like" or "dislike". The items, when scored, group into scales that give measures of "tendencies, sublimations, reaction-formations and defence mechanisms associated with various patterns of psycho-sexual development, with masculine and feminine identifications, with some patterns of mature interests, and with two aspects of ego-strength" (Newman *et al.* (1973b), p.18). Ten particular scales were designated by the authors for their study for the following reasons:

1. Certain traits have been identified by Grygier as correlating with leadership (Verbal Aggression, Active Icarus Complex – drive for achievement, Ego-Defensive Persistence – tendency to react with renewed effort in the face of difficulties or opposition, and Initiative); and

2. The authors considered certain other traits interesting as they identified that there existed a popular, generalised perception that police officers are characterized by high levels of some traits (Hypocrisy – insight into own moral standards, Attention to Detail, Anal Sadism – inclination towards strong authority, cruel laws and discipline, and Insularity – including social and racial prejudice) and low levels of other traits (Submissiveness, Creativity).

Using the DPI, the authors concluded that the leadership training was effective in decreasing the trait of sadism, or the degree to which an

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individual is prone to emphasising discipline, strong authority and cruel law. The traits of verbal aggression (self-assertive behaviour), drive for achievement and initiative were all found to increase. Compared to the general population, the police officers as a group were found to exhibit greater conformity, greater submissiveness to authority and greater initiative. Conversely they were found to have lower levels of sadism and creativity.

Whereas previous researchers had administered general personality tests to police leaders and had identified particular positive characteristics of the effective leader or police officer, it is notable that Newman *et al.* chose to study the effect of a leadership development programme on a set of traits that appear to reinforce the negative stereotype of the police officer, i.e. moralistic, rule-oriented, prejudiced. As already stated, the research was being conducted against a backdrop of societal events that were bringing police behaviour to the attention of the public. However, it is unclear why the authors chose to measure the long term effect of training on these particular behaviours and attitudes, other than their own perception that there existed a 'popular, generalised perception' of police officers' behaviour and attitudes amongst the public. Furthermore, they do not provide any evidential grounds for the strong assertions made in the study. Although the study suggested certain positive traits increased, for example initiative, the study also tended to reinforce certain stereotypical traits, for example conformity and submissiveness to authority. Nevertheless, and in common with other research at the time, the authors continued to support the idea that there was a particular set of personality traits that differentiated effective police leaders, stating that they would "continue to seek out those characteristics which will provide clues to the identity of the potential police executive before he enters that part of the career line. If such a cluster of personality traits can be identified, as we are inclined to believe, a valuable resource to the criminal justice field will be available to operating agencies as part of the selective process" (p. 47).

Price carried out a similar study using the DPI (Price (1974)). At this time in the US, women were increasingly integrating into the police and frontline

patrol work. What is significant about Price's research is that the test was administered to women police officers to compare their leadership strength to that of men, and to determine whether women possessed an identifiable unique set of traits. Price concluded that the women police officers had greater leadership potential than their male counterparts. In particular, Price identified that the women had greater levels of flexibility, self-confidence, emotional independence, self-assertion and social adequacy.

One of the main criticisms of the trait approach is the failure of the large number of studies in this area to delimit a definitive list of leadership traits (Northouse (2013)). Judge *et al.* (2002) undertook a qualitative review of the leadership as a trait perspective and found that "one of the biggest problems in past research relating to personality to leadership is the lack of a structure in describing personality, leading to a wide range of traits being investigated under different labels" (p.766). Findings from the many studies have identified a multitude of traits and those considered most important in terms of leadership have often been determined through subjective interpretation of the data. This is reflected in the early research into police leadership, which appears to have been limited to and heavily reliant on personality questionnaires or assessments. As such the results have tended to offer a generalised set of leadership traits considered by the authors to be the most important in the policing context. This in itself is a weakness of trait theory i.e. that it can be normative, implying that these particular traits are the standard to which police leaders should aspire even if they are not grounded in strong, reliable research. In addition, trait studies are almost all correlational, more often than not finding a positive relationship between socially desirable traits and leadership when research has also shown that leaders displaying socially undesirable traits, e.g. narcissism, can also be effective leaders (e.g. Judge *et al.* (2009)). These early studies also emphasise other recognised weaknesses of the trait approach to leadership in that they take no account of the impact of situational effects, and they fail to link the identified traits with team and/or organisational performance and outcomes.

Northouse (2013) argues that despite its shortcomings this approach to leadership "identifies what traits we should have and whether the traits we do have are the best traits for leadership" (p.30). Northouse synthesised five main traits from the many reviews of the period which he argues "contribute substantially to one's capacity to be a leader" (p.26), namely intelligence, self-confidence, determination, integrity and sociability. Interestingly, the traits identified in the numerous early studies involving police officers, and considered by the authors to be important indicators of potential for leadership, largely mirror these and, contrary to the main criticism of the trait approach, are consistent across the studies.

Traits form a basis for two other leadership approaches that are relevant to this study: emotional intelligence and the skills model.

2.3.2 Emotional Intelligence

Leadership research since the 1990s, including research in the police sector, has also been influenced by theories relating to 'emotional intelligence' (Salovey and Mayer (1990), Goleman (1995)). Emotional intelligence (EI) can be defined as "the ability to perceive and express emotions, to use emotions to facilitate thinking, to understand and reason with emotions, and to effectively manage emotions within oneself and in relationships with others" (Northouse (2013), p. 27-28). Research suggests that leaders who are sensitive to their emotions and the impact of their emotions on others may be more effective (Northouse (2013)). Emotional intelligence is also a concept that suggests that modern day researchers continue to argue that leadership is an ability or trait.

The two popular models of emotional intelligence are the 'ability' model and the 'mixed' model. The 'ability' model was conceived by Salovey and Mayer (1990) who proposed that individuals vary in their ability to process information of an emotional nature, and in their ability to use this information in the wider social environment. Their model includes four mental abilities: perceiving and identifying emotions in the thoughts of oneself and others;

using emotions to think creatively and make decisions; understanding and interpreting meaning in emotions, being open to feelings, avoiding defensiveness, and reflectively monitoring emotions; and managing emotions to achieve intended goals. This model is favoured due to its greater psychometric acceptability and is measured using the Mayer-Salovey-Caruso Emotional Intelligence Test (MSCEIT), which is based on solving a series of emotion-based problems (Mayer *et al.* (2003)). Goleman (1995) proposed the 'mixed' model, named as such because it combines two separate models of EI: ability and trait. Focusing on aspects of personality and capabilities that can be learned and developed, Goleman identified five main emotional intelligence constructs consisting of both personal and social competencies: self-awareness, self-regulation, social skills, empathy and motivation.

In 2002, Drodge and Murphy posed the question "would police officers more aware of their own and others' emotions be more effective leaders?" (p.428). The authors correctly argued that "police organisations and police work are affect laden because of cultural and social rules and because of the nature of the work itself, particularly as it occurs at the interface with public law and order" (p.421). Drodge and Murphy make the point that in policing a high value is placed on detached rationality: professionalism necessitates neutrality, objectivity and impartiality, and overt displays of emotion are construed as a weakness. Ironically, police officers are trained to control their emotions and adjust them to different social situations, whether it is the interview of a suspect for an offence, or to elicit sensitive information from a victim of rape. Drodge and Murphy argue therefore that there are "daunting challenges associated with effective utilisation of emotions for police leadership development" (p.435), particularly given the fact that the culture of the organisation and the type of work would not appear to provide a firm base for self-reflections and emotional awareness.

Support for a link between emotional intelligence and effective leadership in policing has since been demonstrated by, for example, Hawkins and Dulewicz (2007). Using their own 'Leadership Dimensions Questionnaire'

they used a 'mixed' model comprising self-awareness, emotional resilience, intuitiveness, interpersonal sensitivity, influencing, motivation and conscientiousness to survey police leaders of all ranks in Scotland. The authors found a positive relationship between emotional intelligence and performance as a leader. Additionally, the study also provided some support for more variance in performance as a leader than both intellectual competence and managerial competence.

In education, similar results have been reported. Maulding *et al.* (2012) found a strong correlation between emotional intelligence and leadership in a group of 48 school administrators across three US states. In another study Williams (2008) suggested that there was a set of specific emotional intelligence competencies that differentiated outstanding from typical US school principals. Williams stated "principals with EI competencies are better able to identify challenging and realistic school improvement goals, keep their eyes on the prize even in the midst of instability, make decisions that further established goals and think out of the box" (p.46).

In 2010, Akerjordet and Severinsson reviewed the position of emotional intelligence related to nursing leadership (Akerjordet and Severinsson (2010)). Supporters of the positive relationship between emotional intelligence and effective leadership, Akerjordet and Severinsson described emotionally intelligent leaders as: "nurturing, expansive and divergent thinking"; "showing respect for the experiences and wisdom of others"; able to "foster a healthy climate that supports information sharing, decision making and the expression of emotional intelligence"; and "able to promote knowledge and innovation as well as create therapeutic work relationships" (p.364). In their critique of the literature however, Akerjordet and Severinsson point out the weaknesses of emotional intelligence in terms of leadership including the exaggerated claims of its predictive validity, and the reliance on psychometric testing which "challenges the conclusion that EI is what EI tests set out to measure" (p.371). Nevertheless, acknowledging the complexity of emotional intelligence, the authors advocate the important contribution that emotional intelligence can make to the development of

nursing leadership. Like nursing leadership, police leadership requires a more collaborative approach where positive teamwork and constructive relationships require mutual understanding and open communication. Akerjordet and Severinsson recommended therefore that attention is given to the nature of emotion and that emotional intelligence should be explored "in the context of the surrounding environment and individual differences that can be adaptive in some settings but harmful in others" (p.372). This theory is particularly relevant in the policing context where as well as being able support, motivate and inspire staff, police leaders are often required to 'command and control' in certain situations. Although two different styles of leadership, my point here is that such a leader must have high emotional intelligence, i.e. an ability to recognise and manage their own and others' emotions in the context of the given situation. The importance of this in the policing context is also highlighted by Yocum (2007) whose small study of supervisors in a US law enforcement agency supported a relationship between high emotional intelligence and effective leadership, providing it is coupled with low narcissism and a genuine sense of morality.

Emotional intelligence remains controversial and continues to be the subject of scrutiny and debate (e.g. McCleskey (2014)) with a number of criticisms directed at the concept. The research has proliferated a number of conflicting models and definitions and as a result there is need for better assessment and measurement. Arguments continue as to whether emotional intelligence exists but most, including its strongest critics (e.g. Locke (2005)) agree that intelligence can be *applied* to emotions. The main criticism of relevance to this study is the significance of the link between EI and leader effectiveness though the evidence is continuing to grow (e.g. O'Boyle *et al.* (2011)).

2.3.3 The Skills Model

The skills model of leadership shifts the focus away from personality characteristics, which are innate and mostly fixed to skills and abilities that can be learned and developed. The skills model was first represented by Katz (1955) who addressed leadership as a set of developable skills,

suggesting that effective leadership depends on three basic personal skills: technical, human and conceptual. Katz argued that traits are *who leaders are*, however skills are *what leaders can accomplish.*

Depending on where a leader is within an organisation, some skills are more important than others. Katz described technical skills as knowledge, competency and proficiency in a specific type of work or activity, most important at the lower and middle levels of management. In the policing context, for example, a police constable is required to know how to make an arrest, from the knowledge of the offence and associated legislation, to the hands on procedure and any accompanying restraint techniques like handcuffing. Human skill is knowledge about and the ability to work with people or 'people skills'. This is the ability to get along with people in the workplace, working effectively with them to achieve organisational objectives. These leaders "create an atmosphere of trust where employees can feel comfortable and secure and where they can feel encouraged to become involved in the planning of things that will affect them" (Northouse (2013) p.45). These skills are important at all levels of leadership. Conceptual skill is most important at senior management level and is the ability to work with concepts and ideas. The Chief Constable of Hampshire Constabulary is an example of leader with conceptual skills, creating a vision and setting a strategic plan for the force based on, for example, local and government policing priorities.

Leadership in terms of skills was progressed by Mumford *et al.* (2000c) in the 1990s. The authors conducted an empirically based study assessing the skills and experience of US army officers representing a number of grade levels or ranks. Their goal was to identify the leadership factors that underlie effective performance in real situations in a real organisation. The authors formulated a Skills Model of Leadership shown in Figure 1 which, rather than describing leadership in terms of specific behaviours, frames it in terms of the "capabilities, knowledge, and skills that make effective leadership possible" (Mumford *et al.* (2000c) p.12).
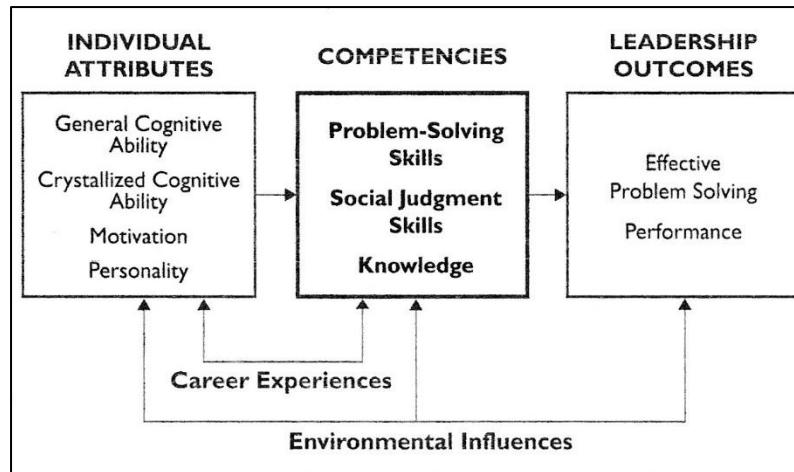
Figure 1: Skills Model of Leadership

(Peter G. Northouse, Leadership: Theory and Practice, p.55 Copyright © (2013), Reprinted by permission of SAGE Publications)

The model comprises five components of leader performance, central to which are the competencies: problem solving skills, social judgement skills and knowledge. These competencies are directly affected by a leader's individual attributes, including intellectual ability and motivation. A leader's career experiences and environmental influences around them also impact. In short "effective problem solving and performance can be explained by the leader's basic competencies and that these competencies are in turn affected by the leader's attributes, experience and environment" (Northouse (2013) p.71).

There are a number of criticisms of the skills approach to leadership. Firstly, it is weak in predictive value, i.e. it does not explain *how* skills lead to effective leadership performance. The type and number of skills included in the model tends to extend the approach beyond the usual boundaries of leadership and, although it claims not to be a trait model, the trait-like individual attributes are a major component. Another weakness of the skills approach to leadership is the question of whether the results can be generalised to other organisations. Some research suggests it can (e.g. Mumford *et al.* (2000b)) and the similarities between the military and police, for example in terms of rank structure, make it a relevant model to consider in this study.

Furthering the research into the skills approach, in their review of trait studies between 1990 and 2003, Zaccaro *et al.* (2004) concluded that the personal traits or attributes of a leader mattered greatly in leadership. The authors however argued that a small set of traits alone could not significantly predict the emergence, effectiveness and advancement of a leader. Instead they proposed that "leadership is multiply determined by sets of attributes that contain cognitive capacities, personality dispositions, motives, values, and an array of skills and competencies related to particular leadership situations" (p.120). Further, the authors distinguished between two different types of traits or attributes: distal and proximal. Distal or 'trait-like' personal attributes are not situationally bound and are therefore relatively stable across time and contexts, for example cognitive ability, personality and values. Proximal or 'state-like' personal attributes are more specific to certain situations and reflect for example knowledge, skills and competencies. Zaccaro *et al.* (2004) proposed that a leader's effectiveness will be shaped by these attributes: distal attributes serve as precursors for the development of proximal personal attributes, which are themselves mediated by leadership processes and moderated by the leader's operating environment. Whereas distal attributes are relatively permanent characteristics and may be used by organisations including the police to assess a candidate's readiness for leadership, proximal attributes are more malleable and may be shaped by development. So although trait-based, the authors' model emphasises skills and abilities that can be learned and developed.

I argue therefore that it ought to be possible to determine the distal attributes upon which to assess a police officer's readiness for leader development, and identify those proximal attributes or skills that can be developed with further leadership development interventions. Moreover, research supports the fact that different categories of leadership skill requirements emerge at different organisational levels (e.g. Mumford *et al.* (2007)) enabling tailoring of leadership development to specific ranks, in the case of this study middle management. A review of literature on police leadership by Pearson-Goff and Herrington (2013) appears to support my assertion. The authors synthesised seven key characteristics and five key activities as important for

effective police leadership. The seven key characteristics of leaders were identified as: ethical behaviour, trustworthiness, legitimacy, being a role model, communication, decision making, and critical, creative, and strategic thinking ability. The activities considered important for leaders to engage in were: creating a shared vision, engendering organisational commitment, caring for subordinates, driving and managing change, and problem solving. Although Pearson-Goff and Herrington argued that all the characteristics and activities should be typical of effective police leaders irrespective of rank, they did note some differences. They found, for example, that Sergeants, the focus of this study, placed very little value on 'managing and driving change' and "were more concerned with the maintenance of the status quo rather than change unless the change suited their purposes" (p.19). Given the rapidly shifting context of policing however, change management is now an important skill to possess at middle management level.

As well as those attributes that are important for an effective police leader, it is worth noting those that characterise the ineffective leader. In a recent study of middle management police leaders attending the FBI Academy, Schafer (2010b) identified the following traits and habits: focus on self over others, ego/arrogance, close minded, micromanagement, capricious/political, poor work ethic, failure to act, ineffective communication, lack of interpersonal skills and lack of integrity. The majority of these represent attributes that are susceptible to correction through leadership development interventions, lending further support for a skills-based model of leadership and leadership development in the policing context.

2.3.4 Leadership as a Style

Towards the end of the 1970s and throughout the 1980s, research into leadership placed less emphasis on personality traits or characteristics and more on leadership style, or the behaviour of the leader. Two general behaviours were recognised: task behaviours and relationship behaviours, and the main theory of this approach to leadership explained "how leaders combine these two kinds of behaviours to influence subordinates in their

efforts to reach a goal" (Northouse (2013), p.75). One of the earliest police related studies of leadership that bridged the gap between considering leadership as a trait and leadership as a style or behaviour was conducted by Glogow (1979) . Basing his research on desirable management traits, Glogow asked a small group of Sheriffs on a management training seminar to generate a series of words or short phrases to describe a 'best boss' and a 'worst boss'. Analysing the words and phrases, two main categories of style or behaviour were identified: task completion and people orientation. The results showed that the Sheriffs perceived a good boss to have a mix of good people and good task-oriented characteristics. The worst boss, however, was described almost exclusively by negative people-related terms. In an early consideration of police (or law enforcement) leadership development and training, Glogow concluded that any curricula should "include methods to continuously sensitise law enforcement executives to the emotional, psychological and social needs of their employees and their constituencies" (p.71).

Studies of police leadership in the late 1970s and 1980s were largely dominated by 'task' and 'relations' theories. Of those, three in particular feature in the police and public sector related literature: Blake and Mouton's Managerial Grid (Blake and Mouton (1964, 1978, 1985)) , Hersey and Blanchard's Situational Leadership (Hersey and Blanchard (1969)), and Fiedler's Contingency Model (Fiedler (1967)).

2.3.5 Blake and Mouton's Managerial Grid

Blake and Mouton's Managerial Grid is based on two behavioural dimensions: 'concern for people' – the degree to which a leader considers team members' needs, their interests, and areas of personal development when deciding how best to achieve a task, and 'concern for production' – the degree to which a leader is concerned with achieving the task i.e. their attention to policy, product development or workload. Blake and Mouton (1964) plotted the leadership behaviours 'concern for people' versus

'concern for production' on intersecting axes to form the Managerial Grid
(Figure 2).

Each axes is divided from 1 to 9 where a score of 1 represents 'minimum
concern', and a score of 9 represents 'maximum concern' (Northouse
(2013)). Using the Grid, Blake and Mouton defined five main leadership or
management styles:
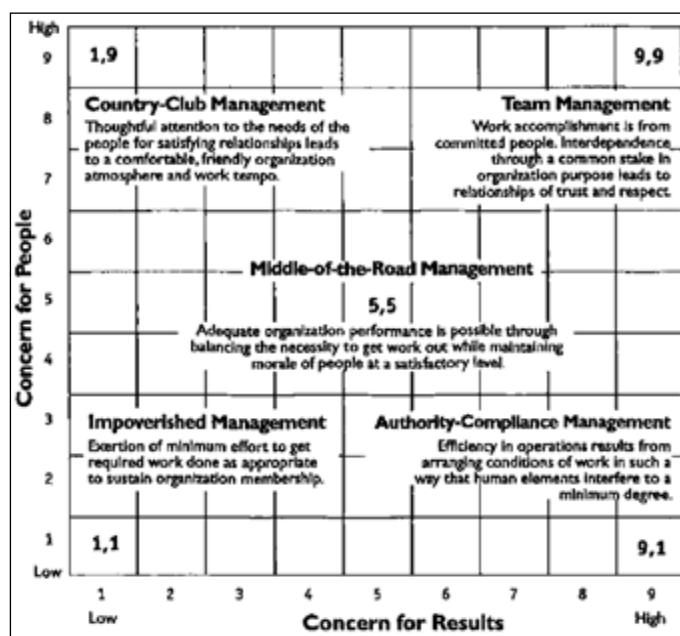
Figure 2: Managerial (Leadership) Grid
(Peter G. Northouse, Leadership: Theory and Practice, p.80 Copyright © (2013), Reprinted
by permission of SAGE Publications)

'Country Club' or Accommodating – high people / low production (1,9). This
leader is mainly concerned with the needs and feelings of members of the
team. The leader assumes that team members will work hard as long as they
are happy and secure. Consequently the work environment is relaxed and
fun but production suffers due to lack of control and direction.

Authority – Compliance – high production / low people (9,1).This leader
treats team members as a means to an end. The need for a productive and
efficient workplace outweighs the needs of the team members. This leader is

very autocratic, has strict work rules, policies and procedures, and views punishment as the most effective method to motivate team members.

<u>'Impoverished' or Indifferent</u> – low production / low people (1,1). This denotes an ineffective leader unconcerned with both the team members and the task. Northouse (2013) describes such leaders as "indifferent, noncommittal, resigned, and apathetic" (p.80). The workplace is disorganised and the team members dissatisfied.

<u>'Middle of the Road' or Status Quo</u> – medium production / medium people (5,5). This describes a leader who finds a balance between the two competing concerns. This may seem like the ideal compromise however this style gives away a bit of each concern so that neither the needs of the team members nor the production is fully met. This leader avoids conflict and settles for average performance.

<u>Team</u> – high production / high people (9,9). This leader is described by Northouse (2013) as one who "stimulates participation, acts determined, gets issues into the open, makes priorities clear, follows through, behaves open-mindedly, and enjoys working" (p.81). Both production needs and the needs of team members are regarded equally highly. Team members are committed to and have a 'common stake' in the organisation, leading to high satisfaction and motivation, and high production.

Research in this period began to focus on the need for effective performance by police leaders or managers. Kuykendall (1977) used the then contemporary Managerial Grid to analyse and discuss the leadership, or managerial, styles of 'executives' of an urban police agency. Kuykendall used a grid instrument that evaluated styles in four areas: philosophy of management or managerial values; planning and goal setting; implementation (translation of plans into action); and evaluation of completed work. Kuykendall found that the style of the police executives tended to change as the managerial activity changed. He found that there was a tendency to "move from the most desirable grid style (9,9) during the

'thinking' (i.e. philosophy of management and planning and goal setting) phases of management to either task or person-oriented ((9,1) or (1,9)) approaches during the 'acting' phases (i.e. implementation and evaluation)" (p.89). Of note in Kuykendall's findings was the change in style between the planning and goal setting, and implementation activities where the dominant style of the police executives moved toward (9,1) and concern for the task. Kuykendall argued that this was due to the increased uncertainty when plans are translated into action. He suggested that the police executives' uncertainty in these situations "can be precipitated by the crises-oriented nature of the police task, and/or a tendency to be involved in 'crises' management resulting from a lack of planning" (p.99). Although the study was limited due to the small cohort of executives and a lack of comparable data from other organisations, the results reflected Blake and Mouton's (1985) findings that a leader has a dominant style and has a 'backup' style, which is normally what the leader reverts to when they find themselves under pressure.

A criticism of the Managerial Grid is that it is simplistic: "the leader who is more highly rated by superiors and peers, who is most satisfying to subordinates, and whose approach results in good performance of the group is likely to be both relations-oriented and task-oriented in an integrated fashion" (Bass and Bass (2008) p.537). There are, however, a number of situational contingencies that have a moderating effect on outcomes, for example the task, the influence of subordinates and organisational constraints (e.g. Deluga (1988)). To illustrate the simplistic nature of the model, between 1978 and 1980 Swanson and Territo (1982) administered the Managerial Grid questionnaire to 104 police managers. The predominant style was found to be (9,9) or the 'team leadership' style. Swanson and Territo's research implies that the most effective leadership style is the high production / high people style but fails to fully support this. One of the reasons for this is that researchers have not been able to associate the task and relationship leader behaviours with tangible outcomes such as job satisfaction, morale, and productivity (Northouse (2013)). Kuykendall's research however tended to support the situational, or contingency,

approach to leadership behaviour i.e. different leadership styles may be required for certain situations: "some may be complex and require high task behaviour, and others may be simple and require supportive behaviour" (Northouse (2013), p.86).

2.3.6 Hersey and Blanchard's Situational Leadership

Widely recognised and extensively used in organisational leadership training and development, this theory of leadership proposes that "different situations demand different kinds of leadership" (Northouse (2013), p.99). Hersey and Blanchard (1969) developed a situational leadership model, later extended and refined (Blanchard (1985), Blanchard *et al.* (1985)) called the Situational Leadership II (SLII) model (Figure 3).
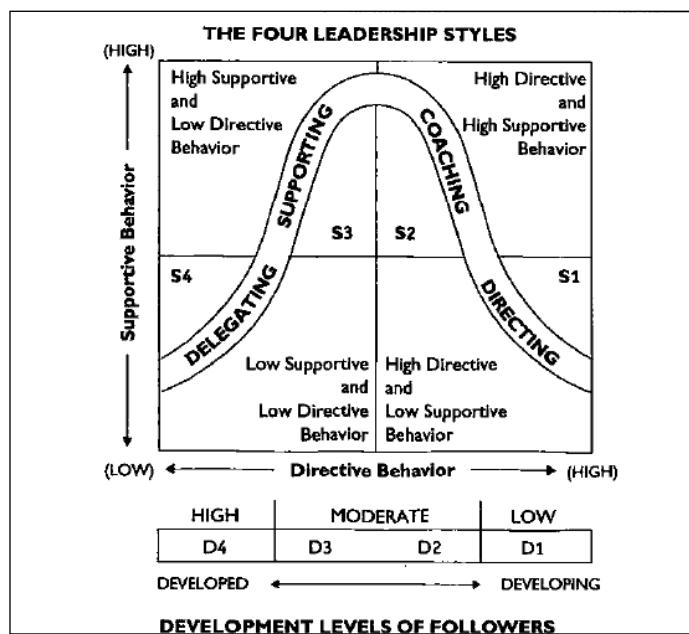
Figure 3: Situational Leadership II

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The premise of the theory is that leaders should alter their style to match the maturity level, or competence and commitment level, of their team members. The model comprises two over-arching behaviour patterns used by a person who attempts to influence others: directive (task) behaviours and supportive (relationship) behaviours. The second part of the model concerns the

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maturity or development level of the team members. Depending on the level, a leader should be directive, or task-oriented and direct (tell) or coach (sell) team members what to do; or the leader should be supportive, or relations-oriented, and support team members in joint decision making, or delegate the decision to them. The model identifies four distinct leadership styles: S1 – high directive / low supportive or directing style; S2 – high directive / high supportive or coaching style; S3 – high supportive / low directive or supporting style; and S4 – low supportive / low directive or delegating style. In a given situation "what to do should depend on the subordinates' task-relevant job maturity (capacity, ability, education and experience) and their psychological maturity (motivation, self-esteem, confidence and willingness to do a good job)" (Bass and Bass (2008), p.517). Therefore to be an effective leader it is essential for a person to determine where team members are on the developmental continuum and adapt their leadership to match that level. For example, new, inexperienced team members seek task-oriented direction from a leader i.e. they should be told what to do. Conversely, a fully experienced team member with proven abilities and commitment works best when a leader delegates what needs to be done.

Kuykendall and Unsinger (1982) argued that the effectiveness of a leader "is determined not by adoption of any one style but by the ability to use all four styles and, further, to 'fit' the appropriate style to the situation" (p.312). Kuykendall and Unsinger used an instrument, the Leader Effectiveness and Adaptability Description (LEAD) developed by Hersey and Blanchard (1974), to describe and analyse the styles of 155 police managers. Different versions of such instruments have been developed to measure situational leadership and the LEAD used in this research is typical of such questionnaires: it comprised 12 work-related situations and the police managers were asked to select their preferred style for each situation from four alternatives corresponding to the four styles in the model. In each situation the development level of the team members was at one of four levels from high maturity, through moderate, to low maturity. Using the instrument, Kuykendall and Unsinger collected and analysed data relating to the police managers' leadership styles and effectiveness. They noted that the police

managers tended to use the coaching or selling style more frequently than other styles, and that they tended to use more than one style. Attempting to compare the data with the findings from Kuykendall's previous research using the Managerial Grid, Kuykendall and Unsinger were unable to identify whether this style flexibility was a function of managerial activity (for example, planning or goal setting) or of the type of situational problem. Nonetheless, leader flexibility is a recognised strength of the situational leadership model. Kuykendall and Unsinger also noted that, when compared to other data sets, the police managers used two of the styles with greater frequency: (i) supporting – coaching and (ii) directing – coaching. This was an indication of the police managers' leader effectiveness as both these profiles include the coaching style (high directive / high supportive) considered by Hersey and Blanchard to be a 'safe' and effective approach in many situations.

Of particular interest is Kuykendall and Unsinger's finding that few of the police managers were able to use the delegating style effectively. Kuykendall and Unsinger stated "police managers feel compelled to act, to do something, and the delegating style is the antithesis of action" (p.318). They proposed four factors that may contribute to the action orientation that are as valid today as they were thirty years ago:

Self-perception about the police role – a belief that police officers possess certain characteristics in order to be able to 'do the job'. These occupational behaviours, commonly self-assurance, assertiveness, dominance and aggression, may contribute to a rejection of inaction.

Police administration – efforts to reform police organisations in the twentieth century and the largely unchallenged "assumption that autocratic, impersonal leadership was preferred by police officers and that quasi-military structure and leadership styles were essential: to maintain centralised control whilst officers are allowed considerable discretion on the ground; to ensure rapid mobilisation in crisis and emergency situations; and to give public confidence in the legitimacy and accountability of police activities" (Campbell and Kodz

(2011), p.6). Kuykendall and Unsinger argued that under such reforms one dimension of the managers' role was to hold subordinates to account because they believed they themselves could subsequently be held to account by their superiors. As such, use of the delegating style contradicts that traditional notion. It is worth noting that other police focussed research around the same time using related leadership theories (Jermier and Berkes (1979) (Path – Goal theory) and Brief *et al.* (1981)) found that a supporting style rather than a directing style was considered to be the best approach for improving job satisfaction and organisational commitment, undermining the autocratic leadership style central to the reforms.

<u>Stress situations</u> – it is commonly held that a strength of a police officer, and particularly one in a leadership role, is the ability to be effective under pressure. The style that best suits these situations is the action-oriented directing style, which involves being assertive and decisive.

<u>Consequences of "Looking Bad"</u> – Kuykendall and Unsinger acknowledged that historically "police behaviours deemed non-professional were identified and this led to the definition of professionalism in terms of what police should not do rather than what they should do to be effective" (p.319). The nature of police work is such that it is extremely difficult to provide definitive guidelines for what to do, so often police officers, supported by their managers, 'play it safe' to avoid being told a decision, for which they had no guidance as to what was considered right, is subsequently deemed to be wrong. This, together with the very real consequences of making a mistake, for example discipline, injury or death of another person, loss of job, media coverage, means that "many managers believe that if they are involved as much as possible in what is going on there will be fewer errors by subordinates, and the possibility of adverse consequences will be reduced" (Kuykendall and Unsinger (1982), p.320).

Situational leadership research in other public sector organisations during the late 1970s and early 1980s is largely lacking (Van Wart (2003)) so it is difficult to compare and contrast findings with those from policing. However,

researchers continued to test the Situational Leadership theory in the late 1980s and 1990s and a number of those involved studies within public sector organisations, mainly in North America. Vecchio (1987) used a variety of statistical tests on 303 teachers from 14 high schools to test the prescriptions of effective leadership as described by Hersey and Blanchard's model. They found that the theory held for new, inexperienced teachers, who may seek and appreciate more task-oriented direction from their supervisors, compared with teachers with more experience. Similar conclusions were reached by Norris and Vecchio (1992) who conducted a study involving 91 nurses and their 7 supervisors.

The Situational Leadership theory is not without criticism, not least that there is a lack of research to justify and support the model. Notwithstanding the research attempts to obtain evidence to support the theory (e.g. Fernandez and Vecchio (1997)), Northouse (2013) states that "without the basic research findings, the validity of the basic prescriptions for matching leader styles to subordinates' development levels must be questioned" (p.120). Practically, police leaders are responsible for teams of individuals and the model does not answer the question of whether a leader should match their style to the overall development level of the group or to that of individual members. Research by York and Hastings (1985) involving 172 employees in three social services departments found that regardless of the maturity level of the employees, the particular leadership style of the supervisor contributed in the same way to the employees' performance – no one leadership style was found to be more effective than another. Indeed, Bass and Bass (2008) argue that maturity or development level is of minor importance in contrast to other variables including "the subordinates' tasks, the technology employed, the information required, the managerial control and coordination systems in place, the amount of self-control that is possible, and the extent to which the decision is operational and complex" (p.520). This conclusion is of relevance to leadership in the complicated policing context where the research has largely drawn on pre-existing instruments that rely on perceptions of outcomes of leadership styles and behaviours, rather than on 'real-life' outcomes. Another criticism that is of particular

relevance to the police is that the situational leadership model does not take account of demographic characteristics. The police service is diverse in terms of a number of characteristics including age, experience, gender, race, and education, and research has shown that these demographic characteristics may affect individuals' preferences for a particular leadership style (e.g. Vecchio and Boatwright (2002))

2.3.7 Fiedler's Contingency Model

This model of leadership moves away from focusing only on the leader. The theory is a 'leader-match' theory, either "different types of leaders need to be chosen for various situations or leaders need to change the situations to suit their particular style" (Bass and Bass, 2008, p.522). Fiedler (1967) developed an instrument called the Least Preferred Co-worker (LPC) used to measure a person's leadership style. The instrument asks a person to think about a co-worker with whom they had difficulty completing a job: someone with whom they least liked to work (but not necessarily disliked), and to describe that co-worker using a number of sets of bipolar adjectives. Leaders who score low on this scale are described as task motivated and those that score high as motivated by relationships. By studying the styles of many different leaders in the situations in which they worked and whether they were effective or not, Fiedler produced a Contingency Theory (Figure 4) suggesting that situations can be characterised in terms of three factors: leader-member relations, i.e. the quality of inter-personal relationships between leaders and members; task structure, i.e. the degree of structure involved in the group; and position power, i.e. the amount of power attributed to the leader by virtue of their position.

In accordance with the status of each of these three factors, whether 'high' or 'low', Fiedler identified eight situation types: from those rated most favourable "having good leader-follower relations, defined tasks, and strong leader-position power" to those rated least favourable having "poor leader-follower relations, unstructured tasks, and weak leader position-power" (Northouse (2013), p.125). Contingency Theory suggests that leaders with

Leader–Member Relations	Good				Poor			
Task Structure	High Structure		Low Structure		High Structure		Low Structure	
Position Power	Strong Power	Weak Power	Strong Power	Weak Power	Strong Power	Weak Power	Strong Power	Weak Power
	1	2	3	4	5	6	7	8
Preferred Leadership Style	Low LPCs Middle LPCs				High LPCs			Low LPCs

Figure 4: Contingency Model

(Peter G. Northouse, Leadership: Theory and Practice, p.124 Copyright © (2013), Reprinted by permission of SAGE Publications)

low LPC scores are effective in extreme situations: very favourable and very unfavourable, and those with high LPC scores are effective in moderately favourable situations.

Contingency Theory is supported by a large field of research, particularly in military organisations. For example, in a study of 28 Sergeants in charge of infantry squads, Fiedler *et al.* (1975) determined how the leadership experience effected the performance of high and low LPC leaders by evaluating the Sergeants at the formation of the squad, and then again after they had had five months experience. As the model predicts, the authors found that the high LPC – relationship-oriented – Sergeants performed better at first when they had little experience and situational favourability than they did five months later. In accordance with the model, the low LPC – task-oriented – Sergeants were found to perform relatively better after five months experience and increased situational favourability. Similar performance results were produced by Bons and Fiedler (1976) in a study of experienced leaders in charge of army squads who were subject to organisational changes. In a stable, continuing organisational environment with the same bosses, teams, and tasks, the performance of the low LPC leaders was unaffected but that of the high LPC leaders declined. Again as predicted by the model, when changes were made to the bosses, teams or tasks thereby moving leaders from moderate situational favourability to low situational favourability, the low LPC leaders again performed relatively better.

I can find no similar research involving police organisations. However like the military, the police service structure is hierarchical, pyramidal in shape and its members often encounter stressful or crisis situations. The Sergeant in charge of an infantry squad can be compared with that of the Police Sergeant in charge of a team of frontline police officers, the middle management role that is the focus of this study. The role of the frontline police officer is dynamic and task driven, responding to calls from the public and dealing with incidents as they arise. They are both reactive and proactive, dealing with situations that vary from the mundane to the critical emergency. It could be argued therefore that the impact of situations on police leaders, and their effectiveness in those situations, will be similar to military leaders and that Fiedler's Contingency Theory holds true for leadership within the police. Bass and Bass (2008) state that "with continued experience, tasks become more routine and leaders get to know their subordinates and usually can work better with them. In addition, the leaders learn the expectations of the higher authority" (p.536). I argue that the low LPC – task-oriented – Police Sergeant in charge of a new team of officers, by the very nature of police work, will be focused primarily on directing themselves towards the tasks of the team. Only when they have accomplished tasks and achieved their goals will they attend to interpersonal relationships. As with the military Sergeants, low LPC Police Sergeants are likely to perform better with experience and increased situational favourability as things begin to run smoothly, team stability develops, and the Police Sergeant knows where they stand in relation to the team. In contrast, high LPC Police Sergeants are likely to attend to tasks but only after they are certain that relationships within the team are good. Performance is better at this stage when the Police Sergeant has moderate control. The performance of high LPC Police Sergeants is likely to decline as the need to focus on tasks increases and relations with the team become cloudier, moving them from moderate situational favourability to low situational favourability.

Further support for the above argument and further validation for Fiedler's model comes from research in other public sector organisations including, for example, the fire service (Kennedy (1982)). In an early study involving first

and second-line nursing supervisors Nealey and Blood (1968) hypothesised that effective leadership style and behaviour patterns would differ across supervisory levels. They found that first-line supervisors with low LPC scores – task-oriented – were considered by their superiors to perform more effectively. At the second level of supervision however, those with high LPC scores – relationship-oriented – were considered to perform better. Subordinates positively valued relationship behaviours (e.g. building camaraderie, trust, respect) at both supervisory levels. Subordinates also valued first-line supervisors with task behaviours (e.g. organising work, defining role responsibilities), but did not value this in second-line supervisors.

A dilemma for organisations including the police, and one identified by Nealey and Blood, is that "most organisations as a matter of policy try to fill vacancies at upper levels of supervision with personnel who have demonstrated good performance at lower levels" (Nealey and Blood (1968), p.421). From their research Nealey and Blood identified a weakness in relying heavily on the LPC scale as a measure of leader effectiveness. Their concern was that if a low LPC first-line supervisor is promoted to second-line supervision, their leadership style and behaviour will mean less effective performance and lower subordinate satisfaction at that level. This would be compounded if only low LPC nurses were originally selected for first-line supervision as there would be no high LPC nurses available for promotion to second-line supervision. Fiedler argued that "changing leader-member relations, the structure of the task, or a leader's positional power is easier than changing a leader's personality" (Bass and Bass (2008), p.537) however Nealey and Blood suggest that "on the other hand, low LPC nurses, if promoted to second-level positions, might change their old pattern of showing high consideration and high structure in response to new situational conditions" (p.421).

Nealey and Blood's observations highlight a major criticism of the contingency model in that it does not advocate teaching leaders how to adapt their style to various situations and instead relies on "changing the

situations to fit the leader" (Northouse (2013), p.129). The very nature of policing means that a leader will find themselves in any number of different situations that vary on a daily basis, from dealing with members of public at the scene of a crime, road accident or domestic incident to supporting a team member with development opportunities, managing sickness or poor performance. Harland (1980), in his critique of Fiedler's model and its application to the police service, supported Nealey and Blood arguing that the model "does not allow for the possibility that a leader's behaviour may be influenced by situations with which he is confronted, or that individual leaders will have different rules for interpreting situational differences and translating them into action" (p.60). Similarly, Tannehill (1980) argued "the key to effective police management is two-fold: the leader must have sufficient sensitivity to be aware of changes in situational factors, and the ability to adapt his leadership style to meet the needs of the situation" (p.204). In more recent research regarding ideal police leadership behaviour, Andreescu and Vito (2010) surveyed 126 police middle managers from 23 US states and found that their focus was on the relationship with subordinates, and that leaders should "take care of people – integrate them into the organisation and promote their well-being" (p.570). Tannehill's argument and Andreescu and Vito's concept of an "inclusive and humanistic" leader serves to introduce one of the most popular approaches to leadership, which has been the focus of much research from the 1980s and is one that still dominates the current evidence base for effective police leadership - 'Transformational Leadership'.

2.3.8 Transformational Leadership

Transformational leadership theory has dominated leadership research for over two decades and continues to be the focus of the majority of leadership studies, evidenced by, for example Lowe and Gardner (2001) and Gardner *et al.* (2010). Significantly, Antonakis (2012) states that such research is not confined to traditional areas of management, psychology or business but also now includes other disciplines: "nursing, education, political science, public health, public administration, sociology, ethics, operations research,

computer sciences, industrial engineering and others" (p.274). The transformational leadership approach was characterised by Bryman (1992) as being part of the "New Leadership" paradigm and built around the charismatic and affective elements of leadership.

One of the major components of transformational leadership is charismatic leadership. The term "charisma" was first used by Weber (1947) to describe leaders who could bring about social change. Weber proposed that such leaders, identified as those who arise in times of crises, possess "a special personality characteristic that gives a person superhuman or exceptional powers and is reserved for a few, is of divine origin, and results in the person being treated as a leader" (Northouse, (2013), p.188). In 1977, House published a theory of charismatic leadership, describing the personal characteristics of such leaders as including being dominant, self-confident, having a strong sense of one's own moral values and having a strong desire to influence others (House (1977)). The foundation for a link between leadership and followership was laid down by Burns (1978). Burns described leadership as "inducing followers to act for certain goals that represent the values and the motivations – the wants and needs, the aspirations and expectations – of both leaders and followers" (p.19). Burns distinguished between 'transactional leadership', describing the then bulk of leadership models, "which entailed a relationship based on the exchange of valued items, whether political, economic, or emotional", and 'transforming leadership' "where motivation, morality, and ethical aspirations of both the leader and followers are raised" (Antonakis (2012), p.263).

In 1985, Bass took the concepts of "New Leadership" i.e. the prior works of House (1977) and Burns (1978), and elements of the 'old leadership' models and produced a refined version of transformational leadership. Bass (1985), and later Avolio and Bass (1991), proposed that transformational and transactional factors were continua in leadership 'activity' and 'effectiveness'. They added a non-leadership factor, Laissez-Faire and produced the Full Range Leadership Model (Figure 5).
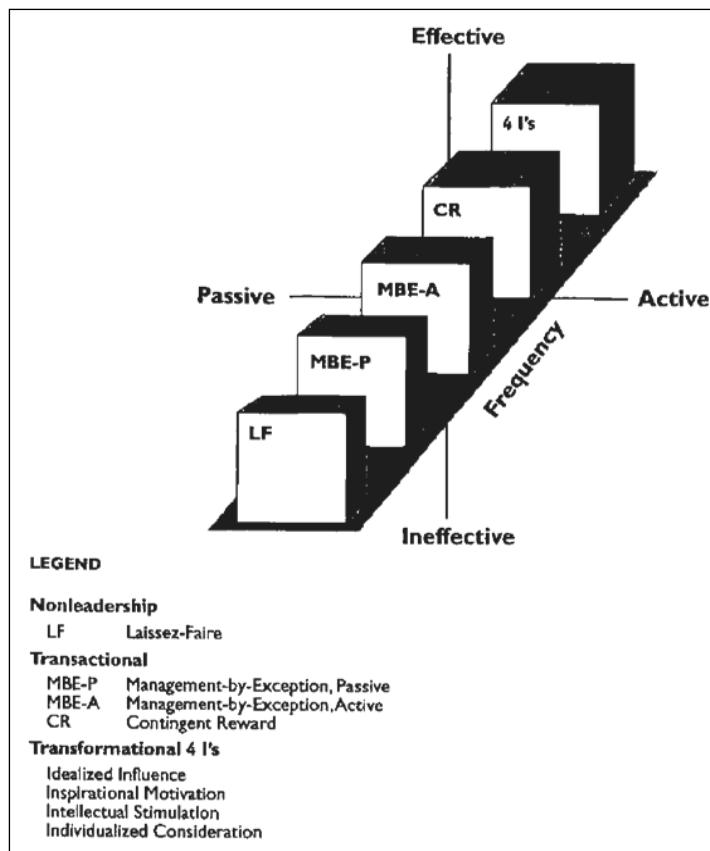
Figure 5: Full Range of Leadership Model

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This model incorporates seven different factors that help to clarify Bass's model. Transformational leadership is composed of four interrelated components: Idealised Influence (or Charisma); Inspirational Motivation; Intellectual Stimulation; and Individualised Consideration.

Idealised Influence (or Charisma) – describes the emotional component of leadership (Antonakis (2012)). This factor describes leaders with high morals and ethics who provide followers with a vision and a sense of mission. Acting as strong role models, they are deeply respected and trusted by followers who identify with them and want to emulate them. Idealised Influence is composed of two measurable components: behavioural and attributional. Both these components are essentially concerned with a leader's charismatic appeal: one referring to specific leader behaviours that can be directly

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observed by followers; and the other attributions of the leader made by followers based on how they perceive the leader.

Inspirational Motivation – describes leaders who inspire confidence in and motivate followers to achieve ambitious goals. The leader communicates optimistically and with enthusiasm, providing encouragement to followers to perform beyond normal expectations.

Intellectual Stimulation – Antonakis (2012) describes this factor as "mostly a "rational" and "non-emotional" component of transformational leadership" (p.266). This type of leadership stimulates followers to consider new perspectives, and creative and innovative ways of doing things. Followers are encouraged to challenge old assumptions, traditions and beliefs and try new approaches to organisational issues.

Individualised Consideration – describes a leader who deals with followers as individuals, providing support for and consideration of their needs, abilities and aspirations. An attentive and caring leader, they further followers' development, advise, teach and coach.

Transactional leadership differs from transformational leadership in that it is "the exchange relationship between leader and followers aimed at satisfying their own self-interests" (Bass and Bass (2008), p.623). This leadership, described by Bass (1997) as "using a stick or a carrot" (p.133), is comprised of three components: Contingent Reward; Active Management by Exception; and Passive Management by Exception.

Contingent Reward – describes the transaction between leaders and followers in which the performance by followers is exchanged for reward. Bass (1997) states leaders "clarify expectations, exchange promises and resources for support of the leaders, arrange mutually satisfactory agreements, negotiate for resources, exchange assistance for effort, and provide commendations for successful follower performance" (p.134).

<u>Active Management by Exception</u> – describes leaders who watch followers' performance closely and if mistakes are made or rules violated, they take corrective action.

<u>Passive Management by Exception</u> – describes leaders who wait until mistakes are made or deviations form standards occur before intervening and taking action.

The Laissez-Faire factor describes leaders with an absence of leadership. Northouse (2013) states that this leader "abdicates responsibility, delays decisions, gives no feedback, and makes little effort to help followers satisfy their needs. There is no exchange with followers or attempts to help them grow" (p.196).

Bass (1985) developed an instrument for use in measuring transformational leadership – the Multi-Factor Leadership Questionnaire (MLQ). The MLQ has been revised and refined over the years and in its current format it measures the nine leadership factors described above. Antonakis (2012) states that "although there has been much debate about the factor structure of the MLQ model, there is little or no controversy about the predictive (concurrent) validity of this MLQ, which has been supported by numerous meta-analysis" (p.256). The MLQ is not only used in research but also as the basis for transformational leadership development programmes. Bass and Avolio (1990) suggested that people at all levels of an organisation can be taught transformational leadership and proposed that such leadership can have a positive effect on organisational performance and effectiveness (Bass and Avolio (1994)). Of note, and of relevance to middle managers in the police, Lowe *et al.* (1996) argued that teaching lower-level leaders to show greater individualised consideration and to promote intellectual stimulation for their team members is particularly valuable for enhancing leader, and consequently organisational effectiveness.

The majority of research into police leadership since the mid-1980s has concentrated on the transformational leadership model. In reviewing relevant

papers I have noted that the research findings can be grouped into three broad areas for which there is evidence transformational leadership has had particular impact: the perceptions of leader effectiveness and how subordinates respond to leaders; subordinate job satisfaction; and subordinate motivation.

Perceptions of leader effectiveness and how subordinates respond to leaders

In a study of middle management and senior officers in Australia, Densten (2003) reported finding that officers at each rank or organisational level had a unique set of leadership behaviours that influenced perception of leader effectiveness and motivation to extra effort. Focusing on the results for middle management roles, Densten reported that positive predictors of leader effectiveness for senior sergeants were idealised influence, individualised consideration, management by exception, and inspirational motivation. A negative predictor of leader effectiveness for senior sergeants was laissez-faire. In other words, senior sergeants view leaders as more effective when they: do not delay decisions or abdicate responsibility; intervene when the status quo is broken; engage in mentoring and coaching; and communicate high expectations – transformational leadership. Both senior sergeants and inspectors considered a leader more effective when they use behaviours that instil respect, faith and pride. The sergeant's role, as Densten accurately describes, is to "supervise the direct performance of units or teams; anticipate/solve real-time problems; shift resources; translate and implement policy" (p.411). This is different to the role of constable and requires the support and mentoring of the leader to maximise performance. When a serious or major crime or incident occurs, sergeants rely on the leader to take control and responsibility for the situation. There is an expectation that the leader will manage these situations that are the exception. This was certainly the case in my own previous role as an operational inspector in Southampton. One of my responsibilities was to take command of critical incidents, for example serious assaults, and my sergeants expected control, direction, and decisions regarding action.

Singer and Jonas (1987), and also a later study by Singer and Singer (1990), postulated that 'mechanistic organisations' like the police do not necessarily foster transactional leadership as predicted by Bass (1985). A mechanistic organisation includes "a centralised hierarchy of authority, standardised operational procedures, rigid career routes and expectations, routinized superior-subordinate relationships and a hierarchical structure of ranks and status" (Singer and Jonas (1987), p.119), a definition that is as true of the police service now as then. The authors argued that the system of reinforcement in the police is thoroughly incorporated into organisational structure so leaders do not need to actively provide contingent reinforcement/reward. The strict internal discipline code and rule-oriented nature of police work may however account for the finding by these authors, supported by Densten's work, that management by exception is a positive indicator of leader effectiveness.

Further support for transformational leadership in a policing context, and in particular in critical situations, is provided by Schwarzwald *et al.* (2001). The authors used the MLQ to investigate the relationship between Israeli police captains' leadership behaviour and subordinate officers' compliance to requests from their supervisor in conflict situations. Responses were obtained from 36 captains and 216 subordinates to a survey asking them to think of a situation where their captain had asked them to perform a task they found hard to accept, and then respond to a range of reasons why they might comply. The findings indicated that subordinates were more likely to comply with transformational rather than transactional leadership and soft rather than harsh power tactics i.e. where the leader relies on expertise, knowledge and referential influencing rather than coercion and reward. The study also found that the greater use of transformational leadership increased subordinates' compliance to both harsh and soft power tactics. Compliance to soft power tactics was particularly strong when high transformational leadership was combined with low transactional behaviours.

The data presented by Schwarzwald *et al.* (2001) indicates that "high transformational leaders even when resorting to harsh bases can expect

compliance in conflict situations or in circumstances requiring immediate action, where soft bases may be less efficient" (p.286). This is an interesting argument that is contrary to the police service assumption that transactional leadership is more effective in command and control situations. In fact, the authors suggest that police officers' compliance behaviour appears to be influenced by the way the captain relates to them on a day to day basis. The leader is not judged negatively by the officer in such a situation, moreover harsh power tactics/behaviours are perceived or interpreted as exceptional and required for getting the present task completed. Schwarzwald *et al.* (2001) state that "it should be noted that although data were obtained from a rather rigid and centralised organisation, nevertheless, for gaining compliance, the transformational leader is at an advantage, even when resorting to harsh power tactics" (p.286).

Subordinate job satisfaction

A number of studies have suggested that transformational leadership has a positive impact on police officer job satisfaction, morale and organisational commitment (e.g. Singer and Singer (1990), Swid (2014)). Murphy and Drodge (2004) conducted a case study involving interviews and participant observation of a detachment of 28 Royal Canadian Mounted Police (RCMP) officers. The authors discussed the results in terms of the four components of transformational leadership and found that transformational leaders have particular relational strengths that lead to elevated levels of work satisfaction, commitment and motivation. They argued that morality, ethics and values are all crucial elements of police leadership and that leader behaviour must be authentic, i.e. "that there must be a genuine concern for people's needs and aspirations" (p.13). Recognising the complexity of police work and the constraints this often places on leaders within such an organisation, Murphy and Drodge nevertheless concluded that "leader behaviour that is grounded in community values, expresses ethics consistent with the organisation, and genuinely exhibits a caring attitude towards followers, maximises the opportunity for leadership to emerge" (p.14).

The largest and one of the only UK studies was undertaken by Dobby *et al.* (2004) who undertook a combination of interviews and questionnaires of police officers of all ranks from 36 police forces in England and Wales to discover what they regarded as effective leadership, what kind of leadership they were experiencing and what impact it was having on their attitudes to work. The authors used a Transformational Leadership Questionnaire (TLQ) developed by Alimo-Metcalfe and Alban-Metcalfe (2001), which comprises questions about line managers leadership behaviours covering 14 dimensions of transformational leadership, and how line managers' behaviour may affect people psychologically. The findings suggested four areas that can be linked to effective leadership:

- Being committed to achieving a high-quality service to the community and supporting staff to achieve this.
- Displaying high personal and professional standards and challenging poor behaviour.
- Enabling, valuing and developing staff.
- Having relevant knowledge and skills.

Within these areas, 53 specific behaviours were identified as being related to effective leadership, of which 50 were found to match closely with the transformational leadership model. The most effective leaders were found to be those that displayed transformational leadership behaviours. Echoing the work of Murphy and Drodge, these leaders were found to "have a wide range of positive effects on their subordinates' attitudes to their work, for example increasing their job satisfaction and their commitment to the organisation" (p. v). The opposite was also found to be true; those leaders low in transformational behaviours had a negative impact on subordinates including their responsiveness to their leader.

Dobby *et al.* (2004) made an interesting recommendation that "all recruitment and selection processes for the service, from constable to chief officer and from CID to community beat, need to be able to distinguish those candidates

who are able to have a positive impact on subordinates through the kind of leadership they provide" (p. vi). This echoed earlier comments by Drodge and Murphy (2002) who, taking into account that transformational leadership can be learned and can positively affect an organisation's performance, suggested that transformational leadership should be an integral part of continuous learning agendas in the police, starting with recruitment and continuing throughout the duration of an individual's career. Promotion selection processes in the police service, and certainly in Hampshire Constabulary at least, remain based on assessment by an interview panel of officers and staff senior in rank and do not include any form of assessment that might identify those candidates who possess such positive characteristics, for example 360-degree feedback. Recent research suggests that the police service of England and Wales is still far from including such selection processes, particularly at middle management level. In his review of police leadership and training Neyroud (2011), for example, suggested that "in order to embed leadership development into corporate culture……..'best practice' is to align leadership development with appropriate systems such as performance management, 360-degree feedback and incorporate it into daily responsibilities."

Subordinate motivation

The transformational leadership model has also been shown to be effective at encouraging subordinate police officers to exert extra effort (e.g. Morreale (2003), McDaniel (2007), Sarver (2008) and Sarver and Miller (2014)). Densten's research (2003) found that middle management ranks were motivated to exert extra effort by different aspects of the Full Range Leadership Model. Inspectors were motivated through negotiation with their leader and by clarification of the reward – contingent reward. Both sergeants and inspectors exerted extra effort if their leader provided intellectual stimulation and encouraged creation and innovation. In addition sergeants were motivated by the transformational factors inspirational motivation and idealised influence i.e. when their leader used behaviours that raised their expectations and belief in the mission and vision, and when they acted as strong role models. Interestingly, Densten found that inspectors were not

motivated by leaders displaying inspirational motivation. He argued that inspectors are "independent or isolated from organisational or critical leadership issues" (p.413). This is true of the role of inspector in Hampshire Constabulary where it is seldom included in, for example, policing area 'senior management teams' or similar decision making forums. The role and purpose of middle leaders are areas widely researched in the field of education (Bennett *et al.* (2003)), where it is recognised that "effective management requires staff at all levels to be involved in decision making and policy formulation" (Busher and Harris (1999), p.314). Densten (p.413) correctly identified that "inspector involvement in investigations, task groups, or projects may require them to focus their efforts on specific issues for a defined period where they operate relatively autonomously." Densten identified that middle managers in the police are often operating in a complex environment and are stimulated to do more if they are allowed to be innovative and creative in the day-to-day development and execution of tasks, and implementation of policies. However, like heads of departments in schools who are also very much in the front line, inspectors' degree of involvement in strategic issues or organisational decision making varies according to the nature of their role within the organisation and the management approach of senior staff.

Research by Engel however suggests that in order to influence subordinate behaviour it is not sufficient to display transformational leadership behaviour alone (Engel (2001, 2003)). Following observations of 64 police sergeants, and interviews and surveys with the sergeants and 239 subordinate patrol officers, Engel identified four main supervisory styles: traditional, innovative, supportive and active. The 'active' style was characterised by sergeants with high activity levels, positive views of subordinates, and who are proactive, directive in decision making, authoritative, and often 'in the field'. The 'active' leader appeared to motivate officers to be more proactive and problem solving, and involved in community policing activities.

Where transformational leadership has been found to be the most prevalent and effective style (e.g. Silvestri (2007), Hawkins and Dulewicz (2009)), there

is evidence that a transactional style is also perceived as effective. Early research by Densten (1999) found that transactional leadership, in particular management by exception, was most frequently observed in Australian senior police officers, and supported by high levels of subordinate satisfaction. At this time however policing still had a largely traditional and reactive approach to crime. As policing transformed from this command and control style to a community policing model, the perceived importance of transformational leadership and its relevance to policing began to gain support (e.g. Drodge and Murphy (2002)). Campbell and Kodz (2011) noted that the most recent trends in police leadership research "emphasise the importance of 'softer' leadership styles, competencies and behaviours almost to the exclusion of all 'transactional' alternatives" (p. 21).

In contrast to the research on transformational leadership in the policing sector, similar studies in the education sector have proliferated over the last three decades. In 2007 Leithwood, one of the most prominent researchers in the field, published a review of 32 empirical studies on transformational leadership in schools published between 1996 and 2005 (Leithwood and Jantzi (2007)). The review served "to answer questions about the nature of such leadership, its antecedents, and the variables that both moderate and mediate its effects on students" (p.177). Transformational leadership was found to positively influence teacher commitment and job satisfaction, and at the organisational level, school culture, organisational learning, planning and strategies for change. Recent research in schools also supports the positive impact of transformational leadership on improving performance, bringing about change and school development (e.g. Finnigan and Stewart (2009), Smith and Bell (2011) and Finnigan (2012)). Similarly, studies by, for example, Treslan (2006), Reynolds (2009), Lazzaro (2009), Eyal and Roth (2011) and Thoonen *et al.* (2011) show that transformational leadership improves staff motivation and wellbeing, teacher learning and staff retention.

Leithwood and Jantzi's review, together with more recent research (e.g. Bolkan and Goodboy (2009)) also demonstrate that transformational leadership effects tend toward positive on student academic achievement, and are more uniformly positive on, for example, student engagement. These

findings echo those in police-related research where transformational leadership has been found to have a positive effect on subordinate officers' motivation and in particular to their exerting extra effort.

Clarke (2009) also considers leadership in educational contexts and describes that the transformational model promotes "relationships, team building, consensus building, dialogue, and developing potential and facilitating growth in others" (p.215). All of these themes are important aspects of and have implications for policing, both within the organisation and with the community as a whole. Leithwood and Jantzi's review also has a number of implications for police leadership: at a time of major reform for the police service as a whole and many individual forces undergoing significant organisational development, the authors' findings that transformational leadership has a positive impact on bringing about change and improving performance, whilst being able to maintain the motivation and wellbeing of the staff involved are important considerations for police leaders.

Following on from their review, Leithwood *et al.* published 'seven strong claims about successful school leadership' (Leithwood *et al.* (2006); Leithwood *et al.* (2008)). A number of the claims in this review are also transferable to the policing context. For example, the authors claim that most successful leaders draw on the same range of basic leadership practices: building vision and setting direction; understanding and developing people; redesigning the organisation (or establishing good working conditions and team building); and managing the teaching and learning programme (or monitoring and supporting staff). Successful leaders are sensitive to the context or situation they find themselves in and apply the practices accordingly. The authors claim that leadership has a greater influence when it is widely distributed. This appears to support the Hampshire Constabulary Leadership Charter, which focuses on and encourages leadership at all levels of the service. The authors also claim that successful leaders share a handful of traits that echo those from research in the policing context: open-minded, willing to learn from others, flexible within a set of core values, persistent, resilient and optimistic.

Leadership research in the health service, in particular in the UK's National Health Service (NHS), appears to be as limited as that in the police service. In a review of papers published between 1999 and 2004, Brazier (2005) investigated the influence of contextual factors such as structure and culture of the organisation on health-care leadership. Brazier's article was written at a time of extensive modernisation within the NHS following publication of 'The NHS Plan' (Department of Health (2000)). Brazier argued that the NHS traditionally encouraged a transactional leadership style "focusing on specific rules, procedures and policies for handling predictable matters and taking corrective action only where there has been a deviation from the rules or procedures" (p.135). Brazier advocated that as the Plan was to devolve power and responsibility to the frontline, creating new leaders and adapting its structure, culture and climate, then transformational leadership was required.

Brazier's observations, supported by similar findings e.g. Millward and Bryan (2005), also have implications for police leadership particularly as continual reform has seen more and more responsibility devolved to the lower levels of management, for example the Sergeant (e.g. Butterfield *et al.* (2005)). Like the NHS, the very nature of policing means that it also has 'transactional necessities and constraints' but this does not prevent transformational leadership behaviours being adopted at frontline level. Both Brazier and Millward and Bryan acknowledged the difficulties posed to such middle management leadership by the organisational structure and culture, and in particular by a complex, highly differentiated and changing organisation like the NHS. Evidence of this across similar public sector organisations like the police was demonstrated by Alimo-Metcalfe and Alban-Metcalfe (2006). The authors gathered data from managers across the NHS, local government, education and criminal justice using their Transformational Leadership Questionnaire (TLQ). The authors identified areas of common concern across all of these organisations including showing genuine concern, encouraging change, inspiring others, focusing team effort, and supporting a developmental culture.

This widely researched model of leadership has intuitive appeal but it is not without its critics and there are several weaknesses that are applicable to use of the model in the policing context (e.g. Cockcroft (2014)). Northouse (2013) argues that the model covers a range of activities and characteristics making it difficult to define and treats transformational leadership as a personality trait rather than a behaviour that people can learn. Muijs *et al.* (2006), for example, commented that "while leadership behaviours can be developed through continued professional development (CPD) activities to a certain extent, the charismatic element in the traditional definitions of transformational leadership are hard to engender if not present in the personality of the leader " (p. 89). Indeed, in his review of police leadership and training, Neyroud (2011) argued that although transformational leadership has been introduced and encouraged in police training in recent years it is not fully supported by strong research and "rather it has been driven more by market fashion at times than by the evidence and context of policing" (p.39). Neyroud also argued that transformational leadership "is an uncomfortable fit with one key aspect of police leadership, notably the requirement to command" (p.39). The operational side of policing is still considered to be largely transactional and the extent to which the organisation allows its practitioners to be innovative in the ways they interpret and discharge their functions is subject to debate. Cockcroft (2014) argues that continual reform, including for example the introduction of the New Public Management model, has led to a decline in the use of discretion and, crucially for leaders in the organisation, lack of autonomy and disempowerment (e.g. Butterfield *et al.* (2005)), questioning the appropriateness of the transformational leadership model in policing. Neyroud's review suggests that there is still a strong belief in policing that 'providing clear direction' but in a 'supportive, transformational style' are two different approaches to leadership, although the research by for example Schwarzwald *et al.* (2001) would tend to dispute this assertion. However, what is evident from the research is the over simplification of the use of the transformational leadership model in policing, almost to the exclusion of every other leadership model. In particular the *"it's better to be transformational than transactional"* focus fails to fully recognise the

subtleties of police work and the organisational culture and that this approach may not be appropriate for every set of circumstances. What is clear is that there is still confusion about a consistent approach to leadership in the policing context.

2.4 Leadership Development

Leadership development can be defined as any activity or approach which enhances the quality of leadership of an individual or within an organisation. A person's leadership effectiveness can be helped or hindered by their personal traits and characteristics, and in order to develop leadership competencies they may require a formalised programme of development. Traditionally, leadership development has comprised classroom training but more recently programmes comprise a more integrated approach over an extended period with the inclusion of development activities including for example 360-degree feedback, experiential learning and coaching. The success of leadership development is commonly linked to three factors (Baldwin and Ford (1988)):

- Individual learner characteristics
- Design of the leadership development programme
- Support for behavioural change from the leader's supervisor

These factors will be discussed in more detail later in this chapter, however Bass and Bass (2008) state that "meta-analyses of available evaluative studies have provided evidence that leadership and management training; education and development are usually effective" (p. 1122). Day (2001) distinguishes between 'leader development' and 'leadership development'. 'Leader development' focuses on 'human capital': developing individual knowledge, skills and abilities to enhance intrapersonal competencies including self-awareness, self-regulation and self-motivation. In contrast, 'leadership development' focuses on developing 'social capital' and interpersonal competencies: creating networked relationships among individuals, enhancing organisational value through cooperation and

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exchange of resources. Day argues that organisations should link leader development with leadership development stating " in moving toward a vision of the organisation that is based on the social capital imperatives of mutual understanding and responsibility there must also be an appropriate investment in developing human capital across all organisational levels" (p.606).

Day's review examined the most popular practices used in leadership development during the 1980s and 1990s including 360-degree feedback, coaching, mentoring, networks, job assignments and action learning. Although all were deemed to be beneficial for leadership development, Day argued that there was no firm evidence to support this and stressed that whatever practice is chosen it should be implemented consistently and intentionally, and throughout the organisation rather than "bounded by specific (usually top) levels" (p. 606). Hartley and Hincksman (2003) conducted a systematic review of leadership development for the NHS Leadership Centre, acknowledging Day's conceptual distinction between 'leader development' and 'leadership development'. The authors used the terms 'social capital' and 'human capital' to define the various approaches to leadership development in the literature and supported Day's argument that both are important for effective leadership development. The following approaches to leadership development were identified: 360-degree feedback, mentoring, coaching, networking, action learning, job challenge, secondments, succession planning, formal programmes, fast-track cohorts, organisation development, and partnership working. Like Day, Hartley and Hincksman made no recommendation that any one approach is more effective than another, and instead drew a number of similar generic conclusions including: ensuring the organisation has a clear and explicit approach to leadership and leadership development; that it is consistent with the models being used; and is consistent with the organisation's culture, strategy and human resource management.

In a review for the National College for School Leadership, Bush and Glover (2004) strongly advocated the following leadership development activities

and learning opportunities: work-based and 'in-house' experiential learning such as job rotation and shadowing, action learning, mentoring, coaching, peer support and networking, and formal leadership learning programmes. The authors warned however that what works well in one context might not translate easily into another. They also stressed the importance of applying leadership development across the whole organisation, that it "needs to encompass people in a wide range of roles, including middle level leaders….as well as embracing the whole organisation" (p. 3).

In their Rapid Evidence Review, Kodz and Campbell (2010) identified a number of "promising learning methods" from the non-police public sector including: programmes comprising a range of learning methods to develop the competencies required; reflective learning including action learning; coaching, 360-degree feedback; formal programmes; and experiential learning and job challenges. In an overview of police leadership development studies, comprising mainly perception-based evaluations of the value and impact of a number of different UK police leader development programmes, Kodz and Campbell cited the following as beneficial:

- Implementing a range of learning methods
- Informal learning, learning from peers and senior leaders
- Well-managed facilitated learning e.g. syndicates
- Experience and 'learning from doing'
- Group projects
- Careers advice and constructive appraisal and feedback
- Fast-track leader development programmes
- Positive-action programmes

In common with all the reviews, Kodz and Campbell also identified a number of key lessons for organisations in relation to how to implement effective leadership development: embedding leadership development in organisational culture and infrastructure; conducting a thorough needs assessment; and careful selection of participants.

However, the notion that leadership development is related to better leadership should be treated with some caution. Day (2001) defined leadership development as "expanding the collective capacity of organisational members to engage effectively in leadership roles and processes" (p. 582). Bush and Glover (2004) also concluded that leadership development is "broader than programmes of activity and intervention. It is concerned with the way in which attitudes are fostered, action empowered, and the learning organisation stimulated" (p. 19). Day *et al.* (2014) in particular argue that it is not as straightforward as "simply deciding which leadership theory is to be used to motivate effective development" (p.64) and that the focus should be on enhancing developmental processes rather than leadership theory. Although the many reviews identify beneficial approaches to and models of leadership development, Muijs *et al.* (2006) also argue that it is unclear "how, to what extent and in what forms leadership development programmes influence leadership practices and, through these, organisational performance" (p.92). Evidence from research over the last decade in both the public and private sector suggests the impact of leadership development programmes on organisational performance, for example, is inconclusive (e.g. Alimo-Metcalfe and Lawler (2001)).

Taken that the overall evidence on the impact of leadership development is inconclusive, the methods of effective leadership development, for example those recommended by Kodz and Campbell (2010) above, must also be treated with caution and considered in terms of 'good practice' as opposed to being based on sound evidence. Allio (2005) is particularly critical of formal leadership programmes, which typically comprise leadership development in the policing sector:

> "They may challenge us or reinforce our self-esteem, but they do not reliably produce long-term change in our psyches or our conduct. They may heighten our awareness of the behavioural patterns of others, but they cannot replicate the environment in which leaders must practice their craft nor provide the time required to reshape

behaviour. As a result, fundamental behavioural change is rare, and graduates usually regress to old patterns within weeks" (p.1072)

Echoing previous reviews, Allio recommends selecting the right candidates, creating learning challenges and providing mentoring. He argues that the selection process is critical and needs to identify potential leaders exhibiting strong motivation, a positive attitude, morality, and potential for growth. Apprentice leaders should be given the opportunity to gain experience in leadership roles, acquire the necessary knowledge, learn from others, and be provided with mentoring and continuous feedback through longer term development initiatives.

2.4.1 Police Middle Management Leadership Development

The aim of this research is to evaluate a Hampshire Constabulary leadership development programme for middle managers, namely police Sergeants, and to study the broader aspects of leadership development at this middle management level. In order to set the scene and provide the context for my research questions it is important to describe how leadership development has evolved and is currently approached in the Constabulary, in particular at middle management level. The programmes discussed will be conceptualised in terms of leadership development models in section 2.4.2.

A review of the existing promotion system in the late 1980s led to the introduction in 1991 of the Objective Structured Performance Related Examination (OSPRE) to provide a structure for the promotion process from Constable to Sergeant and from Sergeant to Inspector. The two-part process, which was still in place at the time of this study, comprised a two-hour multiple-choice examination on law and procedure, and a practical examination consisting of seven 5-minute role-acted work-related exercises. The latter was designed to establish whether the candidate was able to think and act in a manner that satisfied the examiners as to their ability to operate effectively at the rank of Sergeant or Inspector. In common with other Forces, Hampshire Constabulary provided additional training and revision for

officers to prepare for and take the exams but there were no specific related leadership development programmes.

In the intervening years since the introduction of this middle management promotion process a number of national leadership development initiatives have been introduced to develop Sergeants' and Inspectors' managerial and leadership skills but unfortunately with little success. One of these, the Core Leadership Development Programme (CLDP), was accredited by the Chartered Management Institute (CMI), offering the opportunity for officers, and police staff at equivalent levels, to achieve one of three externally recognised qualifications. The then Central Police Training and Development Authority provided 17 CLDP modules in both workbook and e-learning formats. Follow-on workshops were designed and delivered locally for skills development. Some modules were aimed at particular ranks/grades, however all staff could use modules deemed appropriate for their current or likely future roles. In common with other forces, Hampshire Constabulary formulated a CLDP strategy, integrating the modules with internal key skills development workshops on areas including Performance Development Review (PDR) and operational activities such as standards of investigation, diversity and neighbourhood policing. Two of the workshops focussed on leadership:

Being a Leader – it was identified that limited leadership training had been provided and the transformational leadership model was becoming widely recognised. It was intended that this would also better enable management of investigations and performance generally.

Leadership – focused on self-leadership in terms of interpersonal, time management and problem solving skills. It was aimed at the widest audience of all modules and introduced the concept of transformational leadership.

The CLDP however was not nationally mandated and although a number of Hampshire Constabulary officers and staff took part, due to the amount of

work involved take up was generally poor and the programme is no longer offered.

In direct contrast to the middle management level in the police service, although promotion to the senior ranks of chief inspector, superintendent and chief superintendent is still a local process that varies from Force to Force and is normally based on some kind of assessment centre and interview, there are two senior-management level national leadership programmes offered by the College of Policing (COP): the Foundation for Senior Leaders Programme (FSL) aimed at police officers and police-staff equivalent at Chief Inspector level, and the Senior Leadership Programme (SLP) aimed at Superintendents and police-staff equivalent. FSL is a three-week programme comprising three one-week modules, each linked to one of three leadership domains: 'Executive', 'Business' and 'Policing Skills'. The COP website (College of Policing (2017)) describes the course as follows:

> "The programme will provide the knowledge, understanding and skills required of leaders at this level within the service. Through utilising different leadership styles and models, students will gain knowledge in respect of the principles of change management, understand the importance of ethical decision making, command and control skills and be able to apply a performance management framework to their respective areas of business."

Successful candidates qualify for a level-6 qualification with the Chartered Management Institute. Similarly, the SLP comprises four modules, each up to a week, linked to the three leadership domains and an additional module on Equality, Diversity and Human Rights. At the Chief Superintendent rank, the College of Policing offers the 'Leading Powerful Partnerships' course: a five-day leadership development programme aimed at senior leaders in the police, and their equivalent in the public and voluntary sectors (Meaklim and Sims (2011)). The promotion process above the rank of Chief Superintendent involves a Senior Police National Assessment Centre

(PNAC) which, if the candidate is successful, is followed by a Strategic Command Course.

Leadership development for 'high-potential' officers is also well catered for in the UK police service. A High Potential Development Scheme (HPDS) which ran for a number of years has recently closed due to the introduction of Fast-Track and Direct-Entry programmes. The HPDS was open to student officers, police constables and sergeants, and Forces selected officers for the national programme in different ways e.g. paper sift or assessment centres, according to national guidance as to the characteristics that officers should possess. A number of cohorts continue on the five year programme which comprises a number of leadership and management modules leading to a Postgraduate Diploma in Police Leadership and Management, and the opportunity to undertake a Master's Degree. In spite of apparent overwhelming continued support in the police for a single point of entry for officers (e.g. Neyroud 2011) and the ongoing debate of direct or multi-point entry to the police service (Morris *et al.* (2004), Flanagan (2008), Butts (2011), Smith (2015)), in his Independent Review of Police Officer and Staff Remuneration and Conditions final report, Winsor (2012) argued for and subsequently recommended the introduction of two national direct-entry schemes: one for Inspectors and one for Superintendents. The College of Policing now offers direct entry for Inspectors and Superintendents with successful candidates recruited, trained and developed to those ranks within 24 and 18 months of joining respectively. In 2014, a 'Fast-Track' scheme was also opened up in Forces enabling the 'most talented' police constables to advance to the rank of inspector within two years.

There remains however no national guidance on or programme of leadership development for the wider middle management level in the police service and responsibility for any programmes still lies and varies widely with individual Forces. Appendix B shows the leadership development activities that were available to individuals in Hampshire Constabulary at the time of this study. Although both Hartley and Hinksman (2003) and Kodz and Campbell (2010) stressed the importance of carefully selecting participants

for leadership development programmes, there were no specific selection criteria, and places on the programmes were offered on the basis of rank/line manager eligibility. For example the Leadership & Management Programme First-Line Manager (Level 1), the focus of this study, was aimed at newly promoted Sergeants and equivalent police staff first-line managers. An equivalent Level 2 Programme was aimed at newly promoted Inspectors and equivalent staff, and the Leading and Managing People Programme was a two-day course aimed at existing middle managers, officers and staff, who may have been in the role for some time.

The Constabulary also offered a number of short courses for all supervisors and in particular for those managers who are 'acting' ranks, who may not be eligible for the leadership courses. Courses included, for example, Supporting and Managing People, a two-day workshop covering management of unsatisfactory performance, discipline, complaints, grievance, attendance, flexible working and staff well-being. A number of developmental and selection instruments (Appendix C) were also available to individuals and could be accessed by staff as part of their ongoing professional development, including for example the Myers-Briggs Type Indicator (MBTI), a multiple-choice personality questionnaire. Current criteria for selection for promotion to the middle management ranks and therefore eligibility for leadership development programmes in Hampshire Constabulary is still based on performance appraisals and selection interviewing, which are themselves based on a competency framework.

2.4.1.1 Competency Based Assessment

A competency framework is a set of duties or tasks that comprise a job or role within an organisation, with the standards that should be achieved in those duties or tasks. The Policing Professional Framework (PPF) provides the UK police service with a 'competency framework' that sets out and defines the individual competencies and qualities required by both police officers and staff in each rank and role. The framework is typical of those in many other

organisations where competencies fall into two categories: technical and behavioural (Chartered Institute for Personal Development (2013a)). In the case of the PPF the technical competencies are defined by National Occupational Standards (NOS) that determine what an individual needs to do, know and understand in order to perform at a particular rank, or in a role or function. The behaviours are provided for by the policing personal qualities: "a wider set of abilities and approaches that enable the non-specific, non-routine, discretionary and unstructured parts of a job to be achieved" (Hartley and Hincksman (2003), p.19). Competency-based assessment is the process of collecting evidence and making judgements on whether a person has achieved competence. The framework provides the standards and the purpose of the assessment is to confirm that the person can perform to that standard in the role or job.

The CIPD (Chartered Institute for Personal Development (2013a)) argue that the benefits of a competency-based system include: employees have a well-defined set of work behaviours so they are clear about how they are expected to perform; appraisal is fairer and more open; regardless of an individual's background, transferable skills are more easily assessed and required behaviours identified; improved organisational performance; and a measurable, standardised process across organisational and/or geographical boundaries. However, the effectiveness of competency frameworks in improving individual performance is subject to debate. Bolden and Gosling (2006) cite a number of common weaknesses of the competency-based system including: the generic nature of competencies that assumes a common set of capabilities regardless of the individuals, situation or task; the focus on past and current performance rather than future requirements; and the emphasis on measurable behaviours and outcomes "to the exclusion of more subtle qualities, interactions and situational factors" (p.150). Bolden and Gosling in particular are critical of the concept of leadership competencies stating that there is a "tendency to disguise and embed rather than expose and challenge certain assumptions about the nature and work of leadership" (p.150). Drawing on previous research the authors outline further weaknesses specific to leadership competencies, arguing that they:

- Encourage conformity rather than diversity at an individual level,

- Fail to consider the broader social context of leadership "including followers, managerial rewards and sanctions, beliefs about legitimate authority, organisational systems, nature of the work and cultural environments" (p.151),

- Cannot be distilled into a number of constituent elements as leadership occurs in situations.

Competency frameworks are popular in selection processes because they enable assessment against a clear set of criteria and behaviour. In Hampshire Constabulary, for example, the leadership qualities form part of the evidence requirement for promotion. Bolden and Gosling caution against the use of competency frameworks "as a solution for everything" and highlight difficulties arising from the misuse or over-reliance of leadership competencies including, for example, unrealistic expectations of performance i.e. "acquiring a competence does not necessarily mean that you will use it and nor does the absence of a competency make you 'incompetent'" (p.153). Of particular note is the "partial or questionable empirical evidence on which most competency frameworks are based" (Bolden and Gosling (2006), p.152). The authors cite the NHS Leadership Qualities Framework which, although applied across all parts of the NHS, was derived from self-report data obtained from Chief Executives and Directors. This is also the case in the UK police service. The leadership qualities contained in the PPF were derived from those in the former Integrated Competency Framework, which was augmented by the introduction of Police Leadership Qualities Framework (PLQF) in 2006 (Gibson and Villiers (2006)). The purpose of the PLQF was to "set 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 competencies" (Martyn and Scurr (2007) ,p.31). Interestingly, the original PLQF is also based on little empirical evidence (Leadership Academy for Policing (2006a)) with the majority of the underpinning research based on just two Home Office studies: a Review of Senior Officer Training and Development (McFarlane and Mould (2002)) and

Police Leadership: Expectations and Impact (Dobby *et al.* (2004)). Indeed, in their recent review of the literature on police leadership Pearson-Goff and Herrington (2013) argue "the question remains whether we are using these frameworks to develop leaders, because there is a shared understanding about what characterises effective leadership, or because of a received wisdom based on flawed evidence focusing on perceptions" (p.21). Nevertheless, the UK police service supports the use of competency frameworks "not least in promoting the drive for a more diverse workforce through the provision of a clear, objectively applied, open set of standards to which all can measure themselves" (Leadership Academy for Policing (2006b), p.6).

2.4.2 Models of Leadership Development

The literature reviewed so far indicates that although there are a number of approaches to leadership development, no one specific approach is more effective than another. Instead, a number of models of leadership development have emerged since Day (2001) contextualised the notion of 'social capital' and 'human capital'. Bush and Glover (2004), for example, defined three models of leadership development:

Scientific – described as a managerial/technical approach emphasising results-based training to achieve set standards.
Humanist – described as an empowerment/persuasive approach that is people-focussed and based on continuous reflection and development.
Pragmatic – described as a rational/reactive approach that is project-focussed and addresses the immediate needs of the individual or group, drawing on other approaches according to organisational need.

A number of similar classifications exist including, for example, the more straightforward model proposed by Muijs *et al.* (2006):

Course-based – including traditional courses and seminars.
Individual – individualised activities e.g. online distance learning.

<u>Experiential</u> – including mentoring and coaching with a focus on work-based learning.

In terms of the police leadership development programmes discussed in section 2.4.1, most are course-based with officers attending courses or workshops over a period of days or weeks, for example the Senior Leadership Programme (SLP) and the Leadership & Management Programme First-Line Manager (Level 1), the focus of this study. Held traditionally in a classroom setting, these programmes normally comprise an instructional format (e.g. Engestrom (1994)) with presentations, individual and group assignments, and discussion. In contrast, the Core Leadership Development Programme offered course-based input but relied largely on individual activities with workbooks and associated e-learning. Of all the police leadership development programmes, the only ones to offer a model based on course-based, individual and experiential models are the High Potential Development Scheme (HPDS) and more recently the 'Fast-Track' schemes. Offering a more blended approach to leadership development, these programmes combine the traditional classroom input with individual activities, for example studying for an academic leadership qualification, and work-based assessment in a variety of roles with mentoring support.

What is clear from the literature is that a blended approach or model of leadership development over an extended period is considered to be the most effective type of programme. Leskiw and Singh (2007), for example, advocate the development and implementation of a 'learning system' that comprises formal training and action-learning activities, providing a person the opportunity to apply and improve the application of new learning. Findings from albeit limited research in the policing context reinforce the view that a blended approach to leadership development is perceived to be effective. Schafer (2009), for example, states that leadership development involves "a long view; the profession must start with officers earlier in their career, expose them to a broad range of training and educational experiences, encourage on-going learning, provide them with opportunities to learn through application, provide them with positive role models, and

provide mentorship throughout the process" (p. 254). A number of other police studies highlight the importance of a 'learning system' and in particular the value of work-based experience (Schafer (2010a), SIS (2003), Hay Group (2010)).

'Action-learning' encompasses a variety of 'on-the-job' training, experiential, and work-based forms of leadership development and is widely supported (e.g. Allio (2005), Thomas and Cheese (2005), Amagoh (2009)). As Leskiw and Singh (2007) state "this is not to say that traditional classroom training is not relevant or appropriate, only that it should now be heavily complimented by an opportunity to practice within a real environment, solving business issues" (p. 454). Action-learning within best practice organisations includes a variety of different and effective learning methods: challenging job assignments or projects; simulation exercises; case studies; job shadowing; apprenticeships; and action-learning sets. In Hampshire Constabulary however, unless the officer is on the HPDS, action-learning for middle-level leadership development is obtained on an ad hoc basis. Constables and sergeants have the opportunity to 'act up' or take on temporary roles in the next rank, normally as long as they possess the required OSPRE qualifications. Other limited opportunities are advertised including project work and short secondments to, for example, Headquarters departments. The literature also advocates that the blended 'learning system' include 'developmental relationships' (Leskiw and Singh (2007)). Mentoring and 360 degree feedback are two particular leadership development techniques that are widely regarded as the best approaches and increasingly supported by research and theory (e.g. Day *et al.* (2014)). These tools are in common use in middle management leadership development in the police service, and Hampshire Constabulary in particular, and will therefore be discussed below.

2.4.2.1 Mentoring

Bass and Bass (2008) define mentoring as "advising and guiding education, relationships and career development" (p. 1091). Mentoring often involves a long-term committed relationship in which a more experienced, influential

member of an organisation supports the development of a more junior person in that or another organisation. Mentoring in organisations occurs both formally and informally: as either structured, maintained and monitored by the organisation; or as an open, unplanned relationship where the mentor and mentee select each other. There is research to suggest that informal mentoring is perceived to be more beneficial than formal (e.g. Ragins *et al.* (2000)). In informal mentoring the mentee chooses an experienced, well-connected mentor with whom they readily identify, and often the mentee is one the mentor considers to have potential. Benefits for the mentee of such a relationship include: increased visibility or sponsorship within the organisation; selection for particular projects or assignments; facilitated social interaction; and a long-term and protective relationship.

Formal mentoring programmes may have the same impact but typically need to have "top management support, careful matching of mentors and protégés, an extensive orientation program, clearly stated responsibilities for mentors and protégés, and criteria for the frequency and duration of contact between them" (Bass and Bass (2008), p. 1095). Consequently, the success and longevity of formal programmes in organisations can be limited (e.g. McAlearney (2005)). Formal and informal mentoring is common in the policing sector. Hampshire Constabulary has a formal mentoring programme for all staff and officers across the organisation. The scheme was developed to provide support and guidance to those who as a result of promotion, role change, returning to work after an extended period of absence (e.g. maternity leave or career break) or structural re-organisation, are dealing with issues that may be beyond their existing experience. In order that mentoring is structured, consistent and monitored, mentors are trained and the scheme has supporting formal documentation including a mentee information pack, mentoring contract, mentee personal target plan, and evaluation sheets. Informal mentoring within the force is also apparent but is often critically perceived as "the attention given to a chosen few, groomed for top jobs (human capital approach) rather than as building capacity for the whole organisation (social capital approach)" (Hartley and Hincksman (2003), p. 24).

A number of studies have set out the conditions for effective mentoring (e.g. Allen and Poteet (1999)) but common characteristics of an ideal mentor include amongst others "listening and communication skills, patience, knowledge of the organisation and industry, ability to read and understand others, and honesty and trustworthiness" (Day (2001), p.595). Hampshire Constabulary list a number of similar qualities in the mentoring pre-read including having the skills and knowledge to exchange, being open and inspiring trust and confidence, and being able and willing to give time to the relationship to allow it to develop. Other mentor characteristics considered to be essential include being focused in approach, sharing clear aims, goals and objectives, remaining neutral, and being a person with stimulating ideas, able to offer strategies not solutions.

Although I can find no research evidence from the policing sector, mentoring is widely perceived as beneficial in leadership development (e.g. Kim (2007), Amagoh (2009)), and in leadership development in other public sector organisations, for example health (e.g. Fielden *et al.* (2009)). Amagoh (2009) also identifies that mentoring has development benefits to both mentee and mentor: "mentoring provides an opportunity for mastery experience, vicarious experience (i.e. observing others), and verbal persuasion (encouragement and feedback) both for protégés and mentors from the mentoring relationship. Hence, protégés and mentors enhance their leadership self-efficacy as an outcome of the mentoring functions received or provided" (p. 992-3).

2.4.2.2 Feedback

Feedback is an important process for facilitating development and usually comprises information that is communicated to a person intended to modify their thinking or behaviour for the purpose of improving learning and/or development. Feedback is important for a number of reasons: it can motivate people to perform better; it can make people feel valued and maximise their potential; and it can improve working relationships and individual and team performance, making an organisation more effective.

One of the most popular feedback tools is 360-degree feedback (e.g.Leslie (2011), Chartered Institute for Personal Development (2013b)). 360-degree feedback is a process in which employees receive confidential, anonymous feedback on their work-related behaviour and/or performance from people with whom they work, for example their line manager, peers, and their subordinates. The process also involves a self-evaluation. Bass and Bass (2008) state that "feedback about leadership performance on the job is crucial if learning from work experiences is to occur. This is why survey feedback from peers, subordinates, and clients, as well as supervisors, based on standardised questionnaires, can play an important part in leadership development" (p. 1097). Feedback is a useful tool for improving self-awareness and self-knowledge but many caution against using 360-degree feedback in isolation (e.g. Leskiw and Singh (2007)). Day (2001) also warned that "a participant must first be willing to accept feedback as relevant and useful, and be open to change" (p. 590). Day also reported that it matters what people do with their feedback: those willing to discuss it demonstrate greater improvements in performance. In a more recent review, Day *et al.* (2014) emphasise the importance of feedback, in particular 360-degree feedback, as a process for enhancing leadership development.

The 360-degree feedback tool is popular in the police service and is used in national senior leadership development programmes. In Hampshire Constabulary, a 360-Degree Tool is available to officers and staff who have been in a position of line management for a minimum of 6 months.

2.4.3 Embedding Leadership Development in the Organisation

A key theme to arise from all the reviews and studies, regardless of the leadership development programme an organisation chooses, is the importance of embedding leadership development in the organisational culture and infrastructure. Leskiw and Singh (2007) recommend that in order to implement, support and manage leadership development programmes, organisations must have the right structure and systems in place, advocating that "leadership development is embedded in the culture and there is on-

going support and involvement from senior management" (p. 451). The majority of the authors and reviews mentioned so far have supported this view, for example Hartley and Hincksman (2003) emphasise the importance of matching leadership development programmes with organisational strategy and human resource management strategy. Failure to do so, they argued, leads to "restrictions on access to leadership development opportunities, and the inability to put into practice lessons derived from courses or particular job experiences, and the intrusion of inappropriate power and politics" (p.46).

In her study of mentoring and leadership development in US health-care organisations, McAlearney (2005) reported that long-term programmes were only evident in organisations with senior leadership support, sustained budgetary commitment, and qualified, dedicated personnel. Further evidence for the positive influence of organisational support and strategic planning on the effectiveness of leadership development was provided by Lord *et al.* (2008). Their study across three public sectors: education, health and social care, found that promotion of a learning culture, providing a framework for implementation, and locating leadership development practices within broader professional development strategies were important elements. Amagoh (2009) further argued that "institutionalisation of a comprehensive leadership development program in the fabric of an organisational culture is essential to ensure leadership effectiveness and high organisational performance" (p. 990).

How does the current police organisation and associated culture support effective leadership development? In defining and understanding culture Bishop *et al.* (2006) describe the term as "being fundamentally constituted by a (mostly tacit) set of values, assumptions or taken-for-granted understandings that are shared by the members of a social group. These assumptions have various visible manifestations (also called 'practices' or 'artefacts'), e.g. rituals, structures, stories, symbols etc." (p.3). Bass and Bass (2008) state also that the culture of an organisation derives from its antecedent leadership: "cultural norms arise and change because of what

leaders attend to, their reaction to crises, their role modelling, and their recruitment strategies" (p. 749). It is evident from the limited research and reviews (e.g. Neyroud (2011)) that leadership development in the UK police has largely been aimed at the most senior ranks and those deemed to have 'high-potential'. This appears to have been at the expense of middle-level management/leadership where the emphasis has been on the 'processes' of promotion rather than development for it. Bass and Bass (2008) also argue that an important feature of an organisation's culture is its 'climate': "the subjective feelings about the organisation among those who work within it" (p. 750). Leaders' behaviour and decisions influence the organisational climate which, in turn, directly affects how people within the organisation relate to one another and the culture within which they work. Therefore the culture and climate of an organisation, both influenced by the leadership of the organisation, may have an effect on leadership development and leadership development practices.

Police culture is a well-researched area (Westmorland (2009)). Schafer (2009, p.252) succinctly sums up the fact that policing "has a rich history of tradition and culture, including a proclivity toward entrenched views on how various matters ought to be handled." It is now recognised that there is no one single police culture and the influence of, for example, officers' gender and ethnicity, and the broadening nature of police activity means that police culture is a "more diverse, fluid and changeable phenomenon" (Westmorland (2009), p.254). However, some areas of police culture prevail: Loftus (2010) argues that "police culture endures because the basic pressures associated with the police role have not been removed" (p.1). Schafer (2009, 2010) found that a number of aspects of police culture, including resistance to change and politics, work against developing effective leadership. Although US-based studies, these themes are also applicable to the UK police. The findings in Schafer's studies suggested that top policing executives were "entrenched in past practices" and resistant to change. The lack of focus on leadership development for middle-level managers in the UK may be evidence of this. Even in Winsor's report (Winsor (2012)), which recommended radical changes to police pay and conditions, the emphasis

was still on leadership development for the senior level, those with 'high potential', and direct entrants. Where leadership development has been a limited process, for example for middle-level managers in the UK police, Schafer (2009, p. 252) states that leaders are "expected to either bring requisite skills to the job or acquire those skills (presumably through osmosis) in the course of performing those duties." In Hampshire Constabulary this fact has also led to a culture amongst some officers that they do not require leadership development, are satisfied with the minimum input, or believe they have attended a number of programmes and have had sufficient development. For example, when told of their requirement to attend a 'Leading and Managing People' course, one Hampshire Constabulary officer e-mailed the course administrator in reply stating *"I've done god knows how many leadership courses over the last 10 years and I'm all 'leadered' out."*

Schafer's studies also identified structural constraints on effective leadership and leadership development. Leadership development requires the commitment of tangibles such as time, money and personnel. However in certain climates, for example the current one of public-sector budget cuts, other concerns may be of greater priority. Interestingly Schafer (2008, p.249) also identified that "external bodies and constituents might not always be concerned with leadership development, particularly efforts believed to consume appreciable time and/or resources" and "there may be political pressure on short-term results instead of long-term qualitative development of organisation and people". This is particularly pertinent now with the appointment of Police and Crime Commissioners in England and Wales.

Underlining the need for effective leadership development rather than a reliance on promotion processes, Schafer also found that US police agencies relied on "assessment standards and selection processes that were convenient and legally defensible though not necessarily effective" (2008, p. 248). The fact that the OSPRE examinations will soon be replaced by the new National Police Promotions Framework (NPPF), which incorporates work-based performance assessment is a step forward for middle-level

managers in the UK police. However, this is still a promotion process and is, as yet, not supported by any national or local leadership development programme.

2.4.4 Training/Learning Transfer

As stated in the introduction to leadership development, success of a programme has been linked to three factors: characteristics of the individual; programme design; and support in the work environment (Baldwin and Ford (1988)). These factors have been identified as important elements in the transfer of training, or learning, or how individuals are supported before and after a programme so that they can successfully apply their learning back in the workplace (e.g. Blume *et al.* (2010)).

2.4.4.1 Individual Characteristics

In their comprehensive review of the literature on training transfer, Burke and Hutchins (2007) identified a number of individual characteristics or traits with important influence on training or learning transfer including cognitive ability, personality, self-efficacy, motivation, perceived value of the training and organisational-commitment variables. A number of these have particular relevance to the police service. For example, higher general cognitive ability, the motivation to learn and personality characteristics including openness to experience and sociability are all identified as influencing trainee performance and the transfer of training. These characteristics or traits mirror those which have been identified as associated with highly rated police officers with potential for leadership (see section 2.3.1).

Burke and Hutchins identify self-efficacy as a primary characteristic influencing transfer. Self-efficacy is defined as judgements an individual makes about their capability or competency to complete a task or reach a goal (Bandura (1997)) and is found to be positively related to training transfer. In particular, Burke and Hutchins identify a number of studies which suggest that trainee or learner self-efficacy can be developed, and can

enhance training performance and training transfer. Of these, a study by Gist *et al.* (1991) is concerned with interpersonal skills and the authors make an important observation that is relevant to the police service in that "many tasks for which organisations require training are complex activities that involve interpersonal communication, direct confrontation, and conflict resolution" (p.839-840). An example given, which is common to the police service is performance appraisal reviews but could also include grievance resolution and attendance management meetings. Gist *et al.* (1991) argue the importance of post-training interventions including goal setting and self-management, the latter providing an opportunity for trainees to "develop and maintain learned skills by enhancing their capacity to anticipate and cope with obstacles to performance" (p.842). In a recent study, Johnson *et al.* (2012) also support the case for goal setting following leadership development training.

Burke and Hutchins state that "for maximal transfer, learners should perceive that the new knowledge and skills will improve a relevant aspect of their work performance" (p.269). Similarly, where trainees perceive that training will enhance their current or future job performance, or those who have clear career plans and goals are more likely to benefit from training. These characteristics are more likely to apply to police officers actively seeking promotion, or who have already been identified as having high potential. As I have already argued that the lack of emphasis on leadership development at middle manager level in the police service has led to a particular culture amongst officers at that level, it appears unlikely that officers only attending courses as a mandatory requirement will transfer the learning. Instead, it is a combination of the individual characteristics or personality traits described in this section that ought to be considered in selection of relevant candidates (e.g. Hogan *et al.* (1996)). In the case of the police service, and Hampshire Constabulary as a case in point, this would support the use of, for example, psychological testing as part of the selection for promotion and leadership development. Doubts about the reliability or validity of psychological testing however means that this method should not be relied upon in isolation of other selection methods (e.g. Northouse (2013)).

2.4.4.2 Training Design and Delivery

Learning needs analysis, learning objectives, the relevance of training content, and training methodologies are all considered to positively influence training transfer either directly or indirectly. Police officers embarking on leadership development programmes, like trainees in other organisations, "must see a close relationship between training content and work tasks to transfer skills to the work setting" (Burke and Hutchins (2007), p.274). This underlines the importance of training needs analysis and clear training objectives. Setting goals on the basis of those objectives has been found to motivate individuals to direct their attention and action, and develop relevant strategies to achieve results. In particular, a combination of the use of outcome or 'distal' goals and several shorter term benchmark or 'proximal' goals has been found to increase training transfer and subsequently performance (e.g. Brown (2005)).

In addition, the way in which leadership development programmes are designed and the content delivered can increase the transfer of learning. For example, although there is a lack of empirical data to support it, Burke and Hutchins' review identified that the use of active learning methods rather than passive instructional ones like lectures is widely advocated. I support this view as a result of research I conducted for my Masters dissertation, which provided an evaluation of the extent to which an initial training programme for student police officers successfully equipped them to 'promote equality and value diversity'. In that study I concluded that "the apparent lack of slippage in knowledge and understanding across the four cohorts demonstrates that the range of pedagogical activities enhances sustainability of learning from the classroom to the workplace" (Clapham (2009), p.60). The importance of the design and delivery of leadership development has been recognised in the police service at a national level. Meaklim and Sims (2011), for example reviewed the 'Leading Powerful Partnerships' programme developed for "multi-agency leaders in senior roles who must work effectively to release innovation, strengthen personal power and enhance partnership working" (p.22). The importance of active learning is demonstrated within this

programme as participants use a combination of critical reflection and experiential learning, in the form of case study based simulations, to help them "achieve the ability to think like a strategic leader operating in partnership" (p.23).

2.4.4.3 Work Environment

One of my research questions focuses on the factors that impact on workplace learning and development in relation to the practice of effective leadership. A number of themes concerning the work environment have been identified as being important to the transfer of learning and are of relevance in the policing context: alignment of the training programme to organisational strategies and goals; support from supervisors and peers; opportunity to use the learning; and accountability for its application (e.g. Burke and Hutchins (2008),Blume *et al.* (2010)).

Burke and Hutchins state that "learning and training interventions do not exist in a vacuum and as such we should consider their support of organisational goals and strategies" (p.280). Leadership development in the police service therefore should reflect this. In Hampshire Constabulary, the Leadership Charter (more commonly known as the Leadership Principles) has been developed setting out the Chief Constable's expectations of all officers and staff in respect of leadership. The Charter (Appendix A) states that "good leadership is vital at all levels if we are to provide an excellent standard of service to the public, delivering on our vision and priorities. It defines our ability to successfully take command of incidents where people's lives are at risk, and it impacts on every aspect of our work." In order to embed the Charter in selection and promotion processes, the Leadership and Professional Development Department has also mapped the principles onto the Policing Performance Framework (Appendix D). The Charter therefore sets out and defines the importance of leadership in achieving both internal and external organisational goals. This study will evaluate how closely it is aligned to leadership development training and subsequent workplace learning.

The role of the supervisor is widely supported to enhance transfer (e.g. Martin (2010) and Lancaster *et al.* (2013)). Where supervisors encourage, reinforce and provide trainees with opportunities to practice new behaviours they contribute to the development of a supportive work environment. Supervisors are important factors in transfer in helping to remove barriers to application and acting as role models. Martin (2010), for example, found that supervisors who considered training to be important and provided relevant feedback to trainees positively encouraged transfer. Recently, a number of researchers have underlined the importance of supervisor support for trainees before, during and after the training programme (e.g. McCracken *et al.* (2012) and Lancaster *et al.* (2013)). For example, Lancaster *et al.* (2013) found that "supportive behaviour prior to the course included motivating, encouraging and setting expectations. Practical support provided during the course signalled the value that the supervisor placed on the course" and "meetings held after the course provided the best opportunity to support transfer" (p.6). Martin (2010) advocated use of a number of follow-up techniques including action plans, performance assessment and peer meetings. In his study, access to a peer support network was considered a huge benefit to trainees "for advice and assistance if faced with difficulty when implementing the training" (p.530).

The importance of a positive and supportive working environment to improve transfer of leadership development training was underlined by McCracken *et al.* (2012). Their research focused on a leadership development programme (one in Canada and an identical one in Ireland) for public-sector managers from across government, social services, education and health. Of particular relevance to the UK police service and the continuing budget cuts is that the authors identified that "the new public sector has resulted in structural changes with increased pressure to achieve targets and maximise financial performance" (p.313). Hampshire Constabulary is no exception and, at the time of this study, was undergoing significant organisational restructuring in an effort to save money in the latest round of government cuts. As such it is more important than ever that training transfer is effective to produce and

maintain motivated and confident leaders that can manage the transition in terms of both staff and public expectations.

2.5 Conclusion

Over the years, leadership has been defined and conceptualised in a number of different ways. Common to all the theories and models is that leadership is a process of influence that assists groups or teams of individuals to attain goals.

In the first part of this chapter I introduced and critiqued the leadership theory and approaches pertinent to my research, focusing in particular on those models with an evidence base in both the policing context and wider public sector. The earliest research on leadership in the policing context relied on personality assessments producing a generalised set of leadership traits. In spite of the weaknesses of this approach to leadership, for example the fact that it does not take account of situational factors, the traits identified in these early studies largely correlated to other studies that identified certain traits as important indicators of potential for leadership: self-confidence, integrity, intelligence, determination, and sociability. More recent trait-related research has focused on emotional intelligence and its relationship to leadership, suggesting that leaders who are sensitive to their emotions and the impact of their emotions on others may be more effective. Studies in the policing context have indeed found that there is a positive relationship between emotional intelligence and performance as a leader. The skills model focuses on skills and abilities that can be learned and developed. Though untested in the policing context, the heavy reliance on competency frameworks and assessment in the police service would suggest that the skills model offers an alternative approach to leadership.

Leadership as a style was the basis for research in the policing context throughout the 1970s and 1980s. There was a move away from personality traits and characteristics and an emphasis was placed on the style or behaviour of the leader: how leaders combine task behaviour and

relationship behaviour to influence subordinates to achieve objectives. In line with studies in other contexts however, research in the policing context implied, though failed to fully support, that the most effective style is high task and high relationship. Other research at the time also took account of the fact that different leadership styles may be required for certain situations. In the situational leadership approach, effective leadership occurs when the leader can determine where team members are on the developmental continuum and adapt their leadership to match that level. Though studies in policing at the time lacked the 'real-life' context, police leaders were found to use two styles with greater frequency: (i) supporting-coaching and (ii) directing-coaching. The contingency theory of leadership moved the focus away from the leader, emphasising the importance of matching a leader's style to the demands of a situation. Though there is no academic studies in the policing context, research in the similar-context military setting suggests that this theory may hold true for police leadership. However, the nature of policing and the variety of situations a police leader may find themselves in means that police leaders need to have the sensitivity and ability to adapt their leadership style to meet the needs of the situation.

Transformational leadership theory, concerning the process of how leaders influence and inspire followers to achieve great things, has dominated leadership research in recent decades and there are numerous studies in the policing context. These studies, in line with similar research in other public sector organisations, conclude that transformational police leaders are perceived to be more effective, motivational, and have a positive impact on police officer job satisfaction, moral and organisational commitment. Introduced and encouraged in the UK police service over the years, critics of transformational leadership continue to debate its place in what remains a largely transactional environment.

What is clear is that there are a number of different theories of leadership which have an impact on police leadership practice but that no one consistent approach has been adopted by the UK police service.

In the second part of this chapter, I discussed leadership development, reviewing the evolution of middle management leadership development in Hampshire Constabulary and the main models used. Leadership development programmes in the police service continue to be largely course-based with the more encompassing, blended approaches, using course-based, individual and experiential models of leadership development, confined to those on 'high potential' schemes.

Finally, I discussed the themes considered important for embedding leadership development in the organisation including the factors for successful transfer of learning to the workplace. Successful leadership development relies on buy-in at senior management level and an organisational culture that supports and encourages development. Identifying individuals with the right traits who are assessed as ready for the leadership role, and providing both a supporting learning and work environment will maximise the effectiveness of leadership development within the service.

3. Methodology

3.1 Introduction

The purpose of this chapter is to present the philosophy that underpins my research, and to introduce the research strategy and research methods applied. The scope and limitations of the research design will be discussed and compared with existing research traditions in leadership and leadership development in the police and public sector.

I adopted a case study research strategy within my own organisation, Hampshire Constabulary, to evaluate a leadership development programme for police officer middle managers, namely police Sergeants. The fieldwork for this research study was conducted during the period January 2014 to April 2015 and the main data collection techniques used were semi-structured interviews, focus groups and document analysis.

This chapter is divided into nine sections. Following this introduction, the first two sections examine the philosophical underpinnings of the quantitative, qualitative and mixed methods research designs, and their use in the fields of leadership and leadership development. The fourth section is about the research strategy and presents the case study approach. The fifth section deals with the design of the study and covers selection of participants, research methods used, data collection and data analysis. The sixth section explains the ethical considerations in designing the research. In the seventh section, the validity and reliability of the research methods employed is discussed, together with my own role as researcher and how that influences both the conduct and results of the research. Finally, the eighth and ninth sections discuss the generalizability of the results and limitations of the research respectively.

3.2 Approaches to Social Research

My first consideration in carrying out this piece of social research was to decide what research approach to take. Quantitative research is an approach emphasising quantification in the collection and analysis of data. Quantitative research is more commonly associated with the natural sciences such as physics and "entails a deductive approach to the relationship between theory and research in which the accent is placed on the testing of theories" (Bryman (2012), p.36). By contrast qualitative research emphasises the collection and analysis of non-numerical data that uses an "inductive approach to the relationship between theory and research, in which the emphasis is placed on the generation of theories" (Bryman (2012), p.36). The fundamental difference between the two research approaches has, over the years, led to what has been described as the 'paradigm wars' in which "quantitative and qualitative research are seen as warring and incommensurable fractions" (Muijs (2010), p.4). However, recent commentators (e.g. Bryman (2006)) believe that the debate concerning the incompatibility of quantitative and qualitative research has largely subsided, leading to a third research approach for consideration: 'mixed methods' research that combines methods associated with both the quantitative and qualitative research traditions.

3.3 Underpinning Philosophy

In deciding what research approach to take it was necessary for me to consider their underlying philosophies. Quantitative research is associated with 'positivism', which is the standard philosophical view of natural science. Positivism is an epistemological stance that supposes the assumptions and methods of natural science may be directly applied to social science research settings (like the police service). Silverman (2013) describes positivism as "a model of the research process which treats 'social facts' as existing independently of the activities of both participants and researchers" (p.447). The main features of positivism when applied to social science research include that:

- Knowledge is gained through the gathering of facts from direct experience or observation;
- Facts are separated from values i.e. the science is value-free or conducted objectively;
- All scientific propositions are founded on facts. Theory is used to generate hypotheses that are tested against these facts; and
- Analysis of the facts provides material for development of laws or law-like generalisations from which knowledge is attained.

The general premise is that "explaining an event is simply relating it to a general law" (Robson (2011), p.21).

Critics argue that the natural science approach is inappropriate for studies in social settings. Positivism "constrains the manner in which science is conceptualised, is limited in terms of theory building, relies too much on operationalising, ignores meaning and contexts, and attempts to reduce phenomena to universal principles" (Antonakis *et al.* (2004), p.54-55). The concept that we can measure how the world works completely objectively, ignoring the influence of the characteristics and perspectives of the researcher, and the political and social climate in which the research takes place underlines the weakness of this model of research in social science.

It is evident nevertheless that researchers in leadership and leadership development have not completely rejected the positivist position and have adopted approaches used in the natural sciences in their social science research (Antonakis *et al.* (2004)). Researchers using quantitative methods in the study of leadership and leadership development can be described as 'postpositivists'. Postpositivists accept that "the theories, hypotheses, background knowledge and values of the researcher can influence what is observed" (Robson (2011), p.22). They remain committed to objectivity but recognise that the researcher's limitations are likely to bias the methods and conclusions of the research and therefore seek to establish reliability and validity. Unlike positivists, postpositivists accept that research cannot be

perfect and infallible, instead postpositivists rely on precise control of the research situation in order to increase confidence in their findings and in turn the predicted outcomes.

The research strategies in leadership and leadership development in both the public and, in particular, the police sector reviewed for this thesis have mainly been of fixed design, characterised by the postpositivist philosophical position. Robson (2011) states "fixed designs are usually concerned with aggregates: with group properties and with general tendencies" (p.83). Examples of fixed design include laboratory and field experiments, structured interviews and surveys. Research in police leadership has typically used fixed design research methods including personality questionnaires and leadership assessments or instruments like the Multi-Factor Leadership Questionnaire (MLQ) (e.g. Hooke and Krauss (1971), Kuykendall and Unsinger (1982), Densten (2003)). Such designs normally involve a 'detached' researcher to minimise the bias associated with the 'experimenter effect' described above. The advantage of fixed designs and the use of quantitative methods in leadership and leadership development research is clearly evident in the literature reviewed for this thesis in that it enables identification of patterns and processes "which can be linked to social structures and group or organisational features" (Robson (2011), p.83). However, these examples also highlight two other criticisms of the quantitative approach: that the reliance on instruments and procedures hinders the connection between research and everyday life, and the analysis of relationships between variables creates a static view of social life that is independent of people's lives (Bryman (2012)).

Qualitative research is flexible and sensitive to the social context, is "based on methods of analysis and explanation building which involve understandings of complexity, detail and context" and "aims to produce rounded understandings on the basis of rich, contextual and detailed data" (Mason, 2000, p.4). Qualitative research is typically associated with a flexible design characterised by the social constructionist philosophy that focuses on "how the social world is interpreted by those involved in it" (Robson (2011),

p.24). Examples include use of case studies, in which a single or multiple cases are studied using a variety of techniques to collect data; ethnographies, in which a cultural group is studied over a period of time; and grounded theory, where theory is informed by the continual use, categorisation and refinement of the data. The use of such flexible research design is uncommon in the literature on leadership and leadership development research in the public and police sectors reviewed for this thesis. However, there is some evidence of its use in this setting, for example, the use of case study by Murphy and Drodge (2004), and of the growth in its use in leadership research more generally (e.g. Klenke (2008)).

In contrast to the fixed design, in flexible design the researcher is considered as an instrument of data collection. This leads critics of qualitative research to argue that it is biased "because qualitative analysis is constructive in nature, the data can be used to construct the reality that the researcher wishes to see" (Antonakis *et al.* (2004), p.55). Issues of bias and rigour are problematic because there is typically a close relationship between the researcher and the participants, and between the researcher and the social setting. Controls – or triangulation – are therefore required to ensure data is collected from different sources or types of evidence (see later in this chapter).

Many researchers are now taking a 'pragmatic' approach to social-science research, i.e. "using whatever philosophical or methodological approach works best for the particular research problem or issue" (Robson (2011), p.28). Pragmatism "arises out of actions, situations and consequences rather than antecedent conditions (as in postpositivism). There is a concern with applications – what works – and solutions to problems" (Creswell (2009), p.10). This philosophy is characterised by a mixed-method or multi-strategy design where quantitative and qualitative methods are combined in a variety of ways. The mixed-method design is in evidence in the literature on leadership and leadership development research in the police and public sectors reviewed for this thesis, for example the use of a combination of questionnaires, interviews and surveys (Engel (2001), Dobby *et al.* (2004),

Fielden *et al.* (2009) and Maulding *et al.* (2012)). There is also evidence of the use of open-ended surveys and qualitative analysis of responses (Schafer (2009)).

3.3.1 Research Approach

Having considered the underlying philosophies of the quantitative, qualitative and mixed methods research approaches it was now important to revisit my aim and key research questions to establish the most appropriate of these approaches for my study. The aim of my research is to evaluate a Hampshire Constabulary leadership development programme for middle managers, namely police Sergeants, and to study the broader aspects of leadership development at this middle management level, focusing on the knowledge, understanding and skills required to apply leadership in the contemporary policing context and as defined by the Hampshire Constabulary Leadership Charter. The key questions are:

- What leadership model is perceived to be associated with effective police leadership in Hampshire Constabulary?
- To what extent does the leadership development programme deliver the knowledge, understanding and skills associated with the identified leadership model?
- How is the learning acquired in the classroom in relation to the knowledge and understanding of effective leadership put into practice in the workplace?
- What factors impact on workplace learning and development in relation to effective leadership practices?
- How effective is the leadership development programme in changing leadership performance in the workplace?

Robson (2011, p.176) states that "an evaluation is a study which has a distinctive purpose; it is not a new or different research strategy." Typically, evaluations highlight issues to do with change and here the key questions

focus on the characteristics of and change associated with leadership development at the middle management level. In order to answer these questions and pursue the aim of the research I chose to gather data directly from police officers in middle management positions, namely Sergeants, in my own organisation, Hampshire Constabulary. This group of police officers was chosen as they are particularly relevant to the study and the research questions in that they represent the key criteria of the study, i.e. a group of middle managers undergoing leadership development in the police service. This decision was also based on the four following practical factors:

- As a member of the same organisation I was able to conduct a longitudinal study and gather data at key points over a significant period of time,
- Constable to Sergeant promotion boards in October 2013 provided a pool of newly promoted Sergeants,
- The consequent availability of Leadership and Management Programmes for first-line managers provided a related leadership development programme to include in the research, and
- There were no leadership development programmes for middle managers at the rank of Inspector available for study at the time of the fieldwork.

I wanted to obtain the views of those officers engaged in leadership development, and how this impacts on their leadership approach and style and is translated into practice, i.e. obtain an understanding of the experiences of real individuals in a real-life situation through their own accounts and those of other stakeholders engaged in the situation. Having considered the philosophical assumptions underpinning the practice of research in a social setting, I chose to adopt a 'pragmatic' approach in which I was free to choose a research strategy that best enabled me to evaluate the leadership development programme.

3.4 Research Design

I chose a case-study design which Creswell (2009) describes as "a strategy of inquiry in which the researcher explores in depth a program, event, activity, process, or one or more individuals. Cases are bounded by time and activity, and researchers collect information using a variety of data-collection procedures over a sustained period of time" (p.13). The nature of the case or 'unit of analysis' (Yin (2009) in my research is a middle management leadership development programme for police Sergeants, namely the Leadership and Development Programme (First Line Manager – Level 1). The parameters of the case will comprise data collection from key stakeholders in the programme, namely police officer middle managers, their subordinates and line managers, Programme Trainers, the Leadership and Professional Development Manager and the Chief Constable, supplemented by relevant documentary analysis, at points pre and post the programme, and at 6 months and 12 months stages following the programme.

The use of a case study is an appropriate strategy for an evaluation and allowed me flexibility in my choice of research methods. My choice of a case-study approach is also supported by three particular conditions defined by Yin (2009) and relevant to my research:

1. The type of question posed – my research questions comprise "how" and "what". The "what" questions are exploratory as opposed to a form of "how many" or "how much". A case study, in this case an exploratory case study, can be used to collect and analyse data and formulate theories from it. In contrast the "how" questions are explanatory requiring monitoring of a phenomena over time to which case study is suited.

2. The fact that as the researcher I had no control over or manipulation of actual behavioural events as they unfolded, and

3. My research was focused on contemporary issues as opposed to historical events.

For the specific conditions defined above the case-study method has a distinct advantage in investigating a "contemporary phenomenon in depth and within its real-life context, especially when the boundaries between phenomenon and context are not clearly evident" (Yin, 2009, p.18). Use of a case study allows me to define the boundaries of the research and evaluate an issue, in this case middle management leadership development in the police, in depth. My use of case study is further supported by Robson's (2011) definition that case study includes three aspects: (i) the study of an organisation or institution i.e. Hampshire Constabulary, (ii) where the focus of the evaluation or the 'situation' centres on an empirical investigation, in this instance police middle management leadership development; and (iii) within the real-life context of key stakeholders in the process, in this case namely police officer middle managers, their subordinates and line managers, Programme Trainers, the Leadership and Professional Development Manager and the Chief Constable.

The case-study approach was "until recently commonly considered in methodology texts as a kind of 'soft option', possibly admissible as an exploratory precursor to some more 'hard-nosed' experiment or survey, or as a complement to such approach, but of dubious value by itself" (Robson, (2011), p.137). Bell (2006) and Cohen *et al.* (2007), for example, summarise three disadvantages: it is not usually possible to generalise the results to the wider population, cases or situations; it is prone to the possibility of selective reporting; and it can be difficult to cross-check information, hence case studies may be "selective, biased, personal and subjective" (Cohen *et al.* (2007), p.256). In spite of these criticisms, a number of characteristics of the case-study approach lend support to my choice of research strategy. It allows for a longitudinal design (e.g. Bryman (2012)): as a member of the organisation i.e. an Inspector in Hampshire Constabulary, I was afforded the opportunity to conduct my research over a certain period, and collect data at more than one point in time (Swanborn (2010)). Furthermore, a case-study inquiry is suited to this research in which: there are many variables of interest; there is a full variety of evidence, for example documents and

interviews; and there are theoretical propositions, gained through the literature review that can be used to guide data collection and analysis.

My use of a case study is strengthened by the fact that I collected varied types of data. I used two different methods, one-to-one interview and focus groups, to collect data from six research participant sample groups: police officer middle managers chosen from two cohorts of officers attending a First-Line Manager Leadership and Management Programme, their subordinates and line managers, Programme Trainers, the Leadership and Professional Development Manager and the Chief Constable. I also employed a third method: analysis of relevant training documents and materials, and national police and government reports. The range and number of research participant sample groups and data collection methods also reduces the problems associated with the case study approach described earlier. Using more than one method of data collection from multiple sources, 'data triangulation', reduces the effects of observer bias and provides the opportunity to cross-check and corroborate information across a broad spectrum of evidence, increasing the legitimacy of the use of a case study in this evaluation.

Use of case study in the research literature on leadership and leadership development in the police and public sector is limited as already discussed above. In leadership development however, irrespective of research design, what is clear is that most research is based on perceptions of programme participants and other stakeholders on the value and impact of their attendance on the particular course. Few (e.g. Campo *et al.* (1993)) have involved collecting evidence of performance back in the workplace beyond asking those participants for their own perceptions of changes in their behaviour. None appear to have gathered evidence from subordinates, peers or managers about possible changes in performance of those participants following their participation in a leadership development programme (Pearson-Goff and Herrington (2013)). Use of a case-study strategy afforded me the opportunity to formulate interesting conclusions about participation in middle management leadership development within the policing context.

3.5 Designing the Research

A timeline chart for the case study is shown in Table 1.

3.5.1 Selection of Case Study Participants

I employed generic purposive sampling, a form of non-probability sampling (Bryman (2012)) to select one overall sample comprising six sub-samples who are key stakeholders in the leadership training and development of police officer middle managers, namely:

- Police officer middle managers
- Subordinates
- Line managers
- Leadership Programme Training Staff
- The Leadership and Professional Development Manager
- The Chief Constable

The sampling strategy used is 'a priori' i.e. "the criteria for selecting participants is established at the outset of the research" (Bryman (2012), p. 418). Selection of participants for my research was made on the basis of my "judgement of their typicality or possession of the particular characteristic sought" (Cohen *et al.* (2007) p.114-115). In this case the 'characteristic' sought was knowledge and/or experience/impact of police officer middle manager leadership development either directly as a learner or training deliverer, or indirectly as a subordinate officer, line manager, training and development manager or chief officer.

Due to the size of the overall sample, I employed purposive sampling to further select and reduce the six sub-sample sizes "in order to access 'knowledgeable people', i.e. those who have in-depth knowledge about

Gantt chart / timeline table. Month columns grouped by year (2013–2017). Filled cells (█) indicate the scheduled period for each task.

Task	2013 A	S	O	N	D	2014 J	F	M	A	M	J	J	A	S	O	N	D	2015 J	F	M	A	M	J	J	A	S	O	N	D	2016 J	F	M	A	M	J	J	A	S	O	N	D	2017 J	F	M	A	M	J	J	A	S	O
STEP 1: PARTICIPANTS																																																			
Identification and selection				█	█																																													
Contacting and arranging interviews					█	█	█	█	█	█	█	█	█	█	█	█	█	█	█	█	█	█	█	█																											
STEP 2: DATA COLLECTION																																																			
One to one interviews:																																																			
Police Officer Middle Managers Pre Course						█	█																																												
Police Officer Middle Managers Post Course									█	█																																									
Police Officer Middle Managers 6 Month													█	█																																					
Police Officer Middle Managers 12 Month																					█	█																													
Line Managers 6 month													█	█																																					
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Programme Trainers														█																																					
Leadership & Professional Development Manager																					█																														
Chief Constable																								█																											
Focus groups:																																																			
Subordinates 6 Month													█	█																																					
Subordinates 12 Month																					█	█																													
Document analysis																									█	█	█	█	█	█	█	█	█	█	█	█	█	█	█	█										
STEP 3: DATA ANALYSIS																																																			
Transcribing of interviews									█	█	█	█	█	█	█	█	█	█	█	█	█	█	█	█																										
Coding																						█	█	█	█	█	█	█	█	█	█	█	█	█	█	█	█	█	█	█										
Analysis																									█	█	█	█	█	█	█	█	█	█	█	█	█	█	█	█										
STEP 4: RESULTS																																																			
Draft results																																											█	█						

Table 1: Case Study Timeline Chart

particular issues, maybe by virtue of their professional role, power, access to networks, expertise or experience" (Cohen *et al.* (2007), p.115). This further selection process is described below.

3.5.1.1 Police Officer Middle Managers

I employed maximum variation sampling to select police officer middle managers from two cohorts of the Leadership and Management Programme (First-Line Manager – Level 1). This approach was taken to select participants "who reflect the wide range in the larger population under study" (Seidman (1998), p.44).

The chosen cohorts were two one-week Leadership and Management Programmes beginning 3 February and 10 March 2013. It was important that the research design provided the opportunity to look at the overall effectiveness of the programme and its impact on the key stakeholders over a period of time. My rationale was to provide a way of investigating the police officer middle managers' evolving knowledge and understanding of leadership, enabling me to explore learning transfer, and application of leadership in practice. I therefore employed a longitudinal study allowing me to gather data pre and post the leadership development programme, and at points approximately 6 and 12 months following the programme.

Each cohort had approximately fifteen delegates comprising both police officers and police staff. Police staff are civilians employed in support functions within the Constabulary and these delegates were discounted for the purposes of this research study. I analysed the total remaining police officer population of the two chosen cohorts, 20 police officers, in terms of the following individual and demographic characteristics:

- Gender
- Ethnicity
- Length of police service
- Department

- Middle manager role (Acting, Temporary, Newly Promoted, Substantive)
- Posting (on which operational Area[1] based)

This information was taken from class lists prepared by the Leadership and Professional Development Department Administrator.

The above criteria were used for the maximum variation sampling and I selected a sample of six police officers to reflect the range of characteristics and ensure a diverse representation in the sample. The full analysis in terms of individual and demographic characteristics is given at Appendix E. The diverse representation of police officer middle managers in the final sample ensured a breadth of policing experience and organisational perspective, and different perspectives on leadership and leadership development, thereby affirming the decision to use a case-study research strategy.

3.5.1.2 Subordinates

Each police officer middle manager participant has responsibility for leading and managing a team of staff in their respective Department and Area as either an Acting, Temporary, newly promoted or already substantive Sergeant. For each middle manager participant I used the Hampshire Constabulary Computer Aided Resource Management (CARM) system to identify the police officers on their team. I then used purposive sampling to select 3 - 4 police officers on each team. This sampling was based on length of police service and associated policing experience of the individuals to provide a varied response to the research questions.

I chose to include subordinate officers to enable me to study perceptions of effective leadership and determine what qualities are considered to characterise an effective leader from the perspective of police officers in a

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[1] Hampshire Constabulary has three operational Areas, each representing a geographical area of the county of Hampshire: Western, Northern and Eastern (which includes the Isle of Wight).

non-management role. By selecting subordinate officers from the police officer middle managers' respective teams and gathering data at the same 6 and 12 month points following the middle managers' leadership programme, I was able to investigate how the police officer middle manager's leadership performance is perceived in the workplace and how their leadership style and practice developed with time. I was able to investigate what impact leadership development has on the middle manager's leadership behaviour and performance.

3.5.1.3 Line Managers

For each police officer middle manager participant I used the CARM system to identify their line manager, responsible for leading and managing the officer. In the case of an Acting Sergeant, the line manager is the rank of Sergeant, and in the case of Temporary, newly promoted and substantive Sergeants, the line manager is the rank of Inspector. As each police officer middle manager participant had only one line manager, these officers were selected as my sample.

I chose to include line managers to enable me to study perceptions of effective leadership and determine what qualities are considered to characterise an effective leader from the perspective of police officers in the middle management role of Inspector. As each line manager is also responsible for overseeing the officer's development, providing support and guidance in both work and welfare issues, and completing the officer's annual Performance and Development Review (PDR), I was also able to investigate the police officer middle managers' ongoing leadership development. Again by gathering data at the same 6 and 12 month points following the police officer middle managers' leadership development programme, I was able to investigate how the police officer middle manager's leadership performance is perceived in the workplace and what impact leadership development has on the middle manager's leadership behaviour and performance.

3.5.1.4 Leadership and Management Programme Training Staff

I identified that only two members of Learning and Development Training staff were responsible for the design, development *and* training of the of the Leadership and Management Programme (First-Line Manager – Level 1). These two members of staff were therefore selected as my population.

Training staff were selected because of their in-depth knowledge of the leadership development programme, its subject matter and methodologies employed. They were able to provide the background and context for the Leadership and Management Programme and provide an insight into its strengths and weaknesses. I was able to investigate their perceptions of effective leadership and determine what qualities are considered to characterise an effective leader from the perspective of the Learning and Development Training Department staff who are responsible for leadership development delivery across the Constabulary. In particular, I was able to investigate the specific approaches to middle management leadership development promoted by the Constabulary.

3.5.1.5 Leadership and Professional Development Manager

I selected the Leadership and Professional Development Manager to take part in the study for his strategic knowledge and understanding of leadership and leadership development in the policing context, and in particular for his knowledge and experience of the Leadership and Management Programme and leadership development activities within the Constabulary.

3.5.1.6 Chief Constable

I selected the Chief Constable to take part in the study for his strategic knowledge and understanding of leadership and leadership development in the policing context, and in particular for his knowledge of the Hampshire Constabulary Leadership Charter and his leadership vision for the Force.

3.5.2 Research Methods

Table 2 summarises the profile of who took part in the fieldwork and by what method data was collected.

To operationalise the key research questions and thereby generate the data necessary to help answer these, interview schedules for each participant sample group were formulated directly from the research objectives, including probes to get interviewees to expand on their responses when appropriate. A grid was developed to show which research objective applied to which participant group and how each research objective accurately reflected the key research questions (Appendix F). For example, two of the research objectives are to:

- Examine the content and context of the leadership development programme.
- Identify the most and least useful aspects of the training programme.

In order to meet these objectives questions on, for example, the interview schedule for the police officer middle managers post the Leadership and Management Programme included:

- Describe the Leadership and Management Programme

with prompts for the content, activities, teaching and learning methodologies used and trainer knowledge, and

- In your opinion, what was the most useful part of the programme?
- In your opinion, what was the least useful part of the programme?

Participant Sample Group	Description	No. in Sample	Data Collection Method
Police Officer Middle Manager	Substantive, Acting or Temporary Police Sergeants participating in the Leadership and Management Programme (First-Line Manager – Level 1)	6	Semi-structured interview
Subordinates	Team members of and supervised by the individual police officer middle managers	6 Groups (of 3 – 4)	Focus group
Line Managers	Line managers of the individual police officer middle managers	6	Semi-structured interview
Leadership Programme Training Staff	Training staff responsible for the design, development and delivery of the Leadership and Management Programme (First-Line Manager – Level 1)	2	Semi-structured interview
Leadership and Professional Development Manager	Manager of the training department and staff responsible for leadership development programmes in Hampshire Constabulary	1	Semi-structured interview
Chief Constable	Chief Constable of Hampshire Constabulary with overall responsibility for leadership in the organisation	1	Semi-structured interview

Table 2: Participant Profile and Data Collection Methods

The answers to these questions generated data to analyse in relation to the key question:

- To what extent does the leadership development programme deliver the knowledge, understanding and skills associated with the identified leadership model?

Appendix G shows a detailed timetable for the fieldwork, outlining who I interviewed, how and when. My use of semi-structured interviews and focus groups is discussed in further detail below.

3.5.2.1 Semi-Structured Interviews

I conducted one-to-one semi-structured interviews with the police officer middle managers, their line managers, Programme Trainers, the Leadership and Professional Development Manager and the Chief Constable. A semi-structured interview uses "an interview *guide* that serves as a checklist of topics to be covered and a default wording and order for the questions" (Robson (2011), p.280). In a semi-structured interview the interviewer can change the question wording and give explanations and, in addition, particular questions that seem inappropriate with a particular interviewee can be omitted, or additional ones included. Appendix H shows the interview schedules for the police officer middle managers, their line managers, Programme Trainers, the Leadership and Professional Development Manager, and the Chief Constable. As discussed above, in order to operationalise the key research questions and generate the types of data that help answer these and build on concepts explored in the literature review, the interview questions for each participant group were formulated directly from the relevant research objectives for each group (as shown in Appendix F).

Interviews were kept to approximately half an hour in duration where possible as anything less than that was unlikely to be valuable. An advantage of this interview style was that the interviews remained "fairly conversational and situational" (Cohen *et al.* (2007), p.353). I had the freedom to decide the sequencing of the questions and use of the probes, and could decide on the amount of time and attention to give different topics.

This flexibility is also a weakness as it can result in important topics being omitted and/or very different responses from interviewees thus reducing their comparability.

3.5.2.2 Focus Groups

I conducted separate focus groups with the subordinate officers from each police officer middle manager participants' teams. The interview schedules are shown at Appendix I and again the questions were formulated directly from the relevant research objectives for this participant group. The aim and use of the focus group is summed up by Bell (2006) in that "participants will interact with each other, will be willing to listen to all views, perhaps to reach consensus about some aspects of the topic or to disagree about others and to give a good airing to the issues which seem to be interesting or important to them" (p.162). I chose this approach for this sample set because in each case each group of subordinates has "homogeneity of background in the required area" (Cohen *et al.* (2007), p.377). Their common background, positions and experiences encouraged communication and the sharing of ideas, and provided a safe environment in which to express their thoughts and concerns, improving the amount and quality of the data collected. As Robson (2011) states "group dynamics help in focusing on the most important topics and it is fairly easy to assess the extent to which there is a consistent and shared view" (p.294).

However, Robson ((2011) also points out that where individuals in the focus groups know and work closely with each other caution must be taken as "not only will such groups have their own well-established dynamics but also current relationships and hierarchies will influence contributions" (p.294). This is particularly relevant in this case as experience and seniority can play a significant role in the cultural make-up of police teams. The focus groups were therefore kept to approximately one hour and careful facilitation was required to ensure all participants contributed, and the meeting was kept to the point. I made clear to those participants who had a tendency to 'hog' the discussion, and the other participants, other views were also definitely

required. I actively encouraged the quieter participants to give their opinions. The group dynamics and my role as facilitator were strengthened by the small number of participants. I was also mindful of the tendency for participants in such a group context to express views expected by the organisation but as Bryman (2012) states "it may be precisely the gulf between privately and publicly held views that is of interest" (p.518).

3.5.2.3 Documentary Data

I used documents as the third source of data. Analysis of these documents was used in conjunction with the other qualitative research methods: semi-structured interviews and focus groups, as a means of triangulation. Use of these multiple sources of evidence enabled me to "seek convergence and corroboration through the use of different data sources and methods" (Bowen (2009), p. 28).

The chosen documents were:

- Leadership and Management Programme (First-Line Manager – Level 1)
- Lesson plans
- Trainers notes
- Associated presentations/visuals
- Supplementary material e.g. handouts
- Exercises and assessments
- Hampshire Constabulary Leadership Charter
- The Policing Performance Framework (PPF)
- The Leadership Strategy (National Police Improvement Agency (2008))

Examination of and identification of pertinent data contained within these specific documents provided me with the local and national context within which the research is being conducted. The background and content details

of the leadership development programme under study, for example, assisted in contextualising the data collected during the interviews with the police officer middle managers, training staff and the Leadership and Professional Development Manager. The documents suggested questions to be asked, for example of participants' knowledge and understanding of the Hampshire Constabulary Leadership Charter, and also provided a supplementary source of data that added to the overall knowledge base on, for example, leadership and leadership development in the wider national policing context.

3.5.3 Data Collection

3.5.3.1 Police Officer Middle Managers

I initially contacted each of the six police officer participants via their personal or work mobile telephones, the details of which were available to me on the CARM system. I verbally explained my research project and invited them to take part, to which all six agreed. Having obtained their verbal consent, I discussed and agreed with them a convenient date, time and location for the first interview. I followed up the telephone conversion with an e-mail, attaching the relevant Participant Information Sheet, and confirming the date, time and location of the interview (example at Appendix J). All six participants chose to be interviewed at their place of work, which necessitated a further telephone call or e-mail close to the agreed date to confirm their availability. This procedure was repeated prior to each set of interviews. Due to the nature of police work, on occasion it was necessary to rearrange a date and time due to participants' work commitments. At the first interview with each participant, I once again explained my research project and invited them to sign the consent form, and answered any questions they had with regard to the study. At each subsequent interview I checked that each participant was still happy to take part in the study and answered any questions raised.

3.5.3.2 Subordinates

I contacted the six police officer middle manager participants by e-mail to establish the most suitable time to run the focus group for their respective subordinates, for example on a shift overlap period or on a Training Day when the team are less likely to be called away to or committed with police work. Having identified a suitable date and time, I used the CARM system to ensure that the relevant participants were available, and e-mailed the middle manager participants to assist me in facilitating coordination of the respective group on the relevant day, and with arranging a suitable location/room for the interview.

In the meantime, I e-mailed the individual subordinate participants, explained my research project and invited them to take part in the focus group on the relevant day. Once I obtained their consent, I followed up this e-mail with another, attaching the relevant Participant Information Sheet, and confirming the date, time and location of the focus group. I made a further telephone call to or e-mailed the relevant police officer middle manager participant close to the agreed date to confirm the focus group could go ahead. This procedure was repeated prior to each set of interviews. At the first focus group with each set of subordinate participants, I again explained my research project and invited them to sign the consent form, and answered any questions they had with regard to the study. At each subsequent focus group, I checked that each participant was still happy to take part in the study and answered any questions raised.

3.5.3.3 Line Managers, Leadership and Management Programme Training Staff and Leadership and Professional Development Manager

I contacted each of the six line manager participants, the two training staff participants and the Leadership and Professional Manager (L&PDM) via their personal or work mobile telephones, the details of which were available to me on the CARM system. I verbally explained my research project and invited them to take part. Once I had obtained their verbal consent, I

discussed and agreed with them a convenient date, time and location for the first interview. I followed up the telephone conversion with an e-mail, attaching the relevant Participant Information Sheet, and confirming the date, time and location of the interview. I made a further telephone call to them close to the agreed date to confirm their availability. This procedure was repeated prior to each set of interviews. At the first interview with each participant, I again explained my research project and invited them to sign the consent form, and answered any questions they had with regard to the study. At each subsequent interview I checked that each participant was still happy to take part in the study and answered any questions raised.

3.5.3.4 Chief Constable

I contacted the Chief Constable via his Personal Assistant (PA) via the Hampshire Constabulary e-mail system. I explained my research project and asked for permission to approach the Chief Constable to take part. Once I had obtained the Chief Constable's verbal consent, I discussed and agreed with his PA a convenient date, time and location for the first interview. I followed up the e-mails and any telephone conversions with an e-mail, attaching the relevant Participant Information Sheet, and confirming the date, time and location of the interview. I made a further telephone call to the Chief Constable's PA close to the agreed date to confirm his availability. At the interview, I again explained my research project and invited him to sign the consent form, and answered any questions they have with regard to the study.

All the above interviews and focus groups were conducted in a suitably sized private office, interview room or similar at the location chosen by the participants for the interview. The one-to-one interviews lasted, on average, approximately thirty minutes, and the focus groups approximately one hour, and were recorded via a digital voice recorder. I used the relevant interview schedules and prompts as the interview script and made any necessary notes on the schedule. Following the interviews each one was downloaded and saved onto my personal password-protected laptop computer using

Digital Wave Player software. Each interview was be copied to a CD for the purposes of transcription.

3.5.4 Data Analysis

I used a 'thematic coding analysis' approach to analyse the qualitative data generated in the participant group interviews and focus groups (Robson (2011)). Thematic analysis is described as "a method for identifying, analysing and reporting patterns (themes) within data" (Braun and Clarke (2006) p.79). The first phase of the analysis was to familiarise myself with my data. I used two transcribers to prepare transcripts of each of the interviews. To refresh my memory of each interview I listened to each one in turn whilst initially reading through the transcript. I then read through the transcripts again and made notes in the right-hand margin of significant or interesting remarks or observations. In the second phase of analysis, I read through the transcripts again and systematically made as many of these notes as possible using key words and phrases, often those made by the individual participants, across the entire data set. By completing this process I was 'coding': generating an index of terms that would help me interpret and theorise in relation to my data (Bryman (2012)). I then reviewed the codes in relation to each transcript, adding, collating or removing terms as necessary. As Seidman (1998) states, at this point in the reducing of the material I had begun to "analyse, interpret and make meaning of it" and I acknowledged that in this part of the process I was "exercising judgement about what is significant in the transcript" (p.100).

In the third phase of analysis, for each of the six participant sample groups I then collated a set of trigger notes from the coded transcripts of the individual participants' responses to the questions. These trigger notes were organised by research question as per the relevant interview schedule and used to establish patterns and emerging themes under each of the key research objectives introduced in Chapter 1 (Cohen *et al.* (2007)). Each participant was designated a unique reference number, the key to which is shown at Appendix K. Where a research participant provided a relevant quote, I

highlighted this on the transcript and noted this in the trigger notes using the participant reference number under the corresponding research question. An extract from the trigger notes collated from the responses given by the police officer middle managers pre the leadership development programme is shown at Appendix L.

The six sets of trigger notes corresponding to the six research participant sample groups were used to collate the data from the one-to-one interviews and focus groups to produce the collective findings under each key research objective, based on the patterns and themes established earlier. Throughout this fourth phase I moved back and forth between the coded transcripts reviewing the coded extracts against the emerging patterns and themes. The fifth phase involved ongoing analysis to refine the patterns and themes and enabled "patterns, relationships, comparisons and qualifications across data types to be explored conveniently and clearly" (Cohen *et al.* (2007), p.468). Where relevant, data from analysis of the documents was used to supplement the evidence gathered from the one-to-one interviews and focus groups. Data is organised, analysed and presented in Chapter 4 under each key research objective.

3.6 Ethics

Prior to starting the research I completed a research application using the University of Southampton Ethics and Research Governance Online (ERGO) website. I completed an Insurance and Research Governance Assessment (IRGA) and prepared a Social Sciences, Education, Geography and Mathematics (SSEGM) Ethics Sub-Committee Application Form giving a summary of my research rationale, the aims, objectives and research questions, together with details of the design, the study participants and issues of informed consent, participant well-being, confidentiality and anonymity, and data protection. I also completed a Risk Assessment of the fieldwork. The Application and Risk Assessment forms are shown at Appendix M.

Formal permission to carry out the study was obtained from the Leadership and Professional Development Manager responsible for Hampshire Constabulary leadership development and associated programmes. I contacted participants directly or, where applicable, via 'gatekeepers' (Cohen *et al.* (2007)) who control access to the participants: giving an outline of the research and requesting permission to access and interview individuals.

As all participants are employees of Hampshire Constabulary or other police organisations and over the age of 18, the main ethical issues concerned the anonymity and confidentiality of the individual participants who were interviewed, and of the data they provided. I recognised that in order to get the best-quality information from my research it required participants to feel able to disclose their experiences and thoughts freely, without concern about what will happen with the information and how it will be reported. Those taking part in the study were only required to provide information to me as the researcher and I alone handled the data, ensuring the anonymity and privacy of all participants. No reference was made to locations or any other identifying data in the information used for the final thesis. To comply with the Data Protection Act 1998, all data collected from my research was stored securely on a password-protected computer, and any identifying features of the information were removed at the earliest opportunity. All participants and their data were treated with privacy and respect.

I was unable to preserve the anonymity of the police office middle manager participants in the interviews with their subordinates and line manager and assured them that all the information supplied by them would only be handled by me, identifying features removed, and stored securely to preserve confidentiality. I was also not in a position to promise complete anonymity or confidentiality to the participants taking part in the focus groups and explained that while I would do my best to preserve confidentiality and anonymity, and urge participants to respect each other's confidentiality, full anonymity and confidentiality cannot be guaranteed. However, I did not anonymise the information from the Leadership and Professional Development Manager or the Chief Constable. They were both important

participants who were interviewed because of their strategic knowledge and understanding of leadership and leadership development in the policing context. This was made clear to them that this was the reason they were interviewed. During the interview process they were informed that they could, at any stage, indicate that a remark should be treated as off the record and/or that particular material could not be used. Other than the use of attributed quotes from these interviews in writing up the research, the interview data was only available to the researcher and stored on a password-protected computer.

Any transcriber(s) used were given clear instructions to ensure the confidentiality of information in the sound recordings. The transcriber(s) were required not to discuss or otherwise communicate the content of the interviews (or other interactions to be transcribed) with other people. The transcriber(s) was required to return any sound file, or copy of, to me upon completion of the transcription work, and to destroy any notes sent out with the interview. The transcription was returned to me in electronic format and the transcriber(s) was required to destroy his/her copy of the transcription.

In line with Hampshire Constabulary policy, however, I could not assure confidentiality where:

- I believed there to be a real risk of harm to the participant or another person, or
- The participant disclosed information that constitutes a criminal offence or disciplinary matter (College of Policing (2014)).

In the rare event of any such disclosure, the participant would be informed that the information would be reported to the relevant person/Department prior to it being so.

Each participant was given a Participant Information Sheet (example at Appendix N) and asked to sign a Consent Form (example at Appendix O). Cohen *et al.* (2007) describe four elements that make up 'informed consent':

competence, voluntarism, full information and comprehension. My participants are all responsible, mature adults who were fully informed of the purpose and nature of the research. Voluntarism "entails applying the principle of informed consent and thus ensuring that participants freely choose to take part (or not) in the research and guarantees that exposure to risks is undertaken knowingly and voluntarily" (Cohen *et al.* (2007), p.52). Although all participants volunteered to take part, I am mindful that the police officer participants chosen from the two leadership development programme cohorts and their subordinate officers were of a lower rank than me within the organisation and that this may have placed pressure on some individuals to 'volunteer'. I therefore stressed that participants were free to withdraw from the research at any time without objection and with the right to privacy (Tuckman (1999), Cohen *et al.* (2007)). As a higher-ranking officer I also underlined the aspect of confidentiality in relation to the purpose and nature of the research to allay any fears that officers' views would be 'reported' to the Leadership and Professional Development Department or senior police management. My role as the researcher and its implications are discussed further below.

3.7 Validity and Reliability

3.7.1 My Role as Researcher

One of the most significant potential sources of bias in my research was my own role as researcher. In addition to the two common sources of bias, 'interviewer effects' and the notion of power in the interview, my own rank and membership of the organisation under study also had methodological consequences. My rank of Inspector and membership of Hampshire Constabulary allowed easy access to the research participants through use of the CARM system, and knowledge of shift patterns and police roles. The relatively small size of the Constabulary also meant that I already knew a number of the research participants, or alternatively they had knowledge of me through colleagues, or through my various roles and places of work over the years within the organisation. For example, one of my previous roles was

Training Sergeant so I already had a good relationship with the manager and staff in the Leadership and Professional Development Department. This relationship also allowed me authorised access to the leadership development programme administration details and course content.

Conversely, as a number of my participants were lower in rank than me and the police service is a hierarchical and disciplined one, there may have been some pressure on participants to 'volunteer' to take part. My experience however, in particular with the police officer middle managers, was that they willingly chose to take part in the study and were not only interested to know the results of the research but also saw the exercise as an opportunity for reflection as part of their own leadership development.

I cannot rule out the potential for bias on account of the fact that I am a woman. 'Interviewer effects' arise from studies that have shown that "race, religion, gender, sexual orientation, status, social class and age in certain contexts can be potent sources of bias" (Cohen *et al.* (2007), p.150). I am, however, well-respected within Hampshire Constabulary and this was evidenced when a number of the participants who I had not previously known told me that they had 'asked around' before the first of the interviews and had heard positive things about me. Nevertheless, police officers also have a degree of 'respect for rank', regardless of whether or not they like the person, and I cannot discount the fact that participants may have felt obliged to take part and/or uncomfortable turning down the request to assist with the research.

Another source of bias is the notion of power in the interview situation: "typically, more power resides with the interviewer: the interviewer generates the questions and the interviewee answers them; the interviewee is under scrutiny the interviewer is not" (Cohen *et al.* (2007), p.151-152). With those participants lower in or of the same rank as me there may have been pressure to give me the answers they thought I wanted to hear. As Cohen *et al.* (2007) states "if the researchers are known to the interviewees and they are peers, however powerful, then a degree of reciprocity might be taking

place, with interviewees giving answers they think the researchers might want to hear" (p.152). It was therefore important to remind the participants of the confidentiality of the research, and of their anonymity in the process in order to encourage them not to 'tow the party line'. My rank also increased the possibility of participants seeing the interview as an opportunity to have a moan at, or conversely try and impress a more senior officer. It was therefore necessary to formulate the interview questions carefully and in such a way to avoid these possibilities and, for example, "consider the extent to which a question might influence respondents to show themselves in a good light; or the extent to which a question might influence respondents to be unduly helpful by attempting to anticipate what the interviewer wants to hear" (Cohen *et al.* (2007), p.153).

In fact, during my fieldwork with the police officer middle managers, their subordinates and line managers, I often found the power to be with the participants in that they determined the date, time and location of the interviews depending on their own shift patterns and commitments. The unpredictable nature of police work also meant that, on occasion, participants had to contact me at short notice to reschedule. This was at times frustrating due to my own commitments so it was important for me not to lose sight of the fact that the participants were volunteers and doing me a service in taking part in the research. This important concept of me regarding the interview as a 'gift' given by the interviewee is supported by the findings of Limerick *et al.* (1996).

Similarly, interviewing the Leadership and Professional Development Manager and the Chief Constable may also have been subject to bias due to the asymmetry of power. The Leadership and Professional Development Manager, for example, who has "power, resources and expertise might be anxious to maintain their reputation, and so will be more guarded in what they say, wrapping this up in well-chosen, articulate phrases" (Cohen *et al.* (2007), p.152). The Chief Constable, on the other hand the most powerful person in Hampshire Constabulary, has the ability to "control the agenda and course of the interview, and are usually very adept at this because they have

a personal and professional investment in being interviewed" (Cohen *et al.* (2007), p.152).

3.7.2 The Research Methodology

An effort was made to develop the validity and reliability of the one-to-one interviews and focus groups and in turn the data collected. To minimise participant bias, no forward disclosure of the interview questions was made to prevent individuals researching the answers I wanted to hear. In each individual one-to-one interview in each sample set, I was careful to word the questions in the same way for each participant as "changes in wording, context and emphasis undermine reliability because it ceases to be the same question for each respondent" (Cohen *et al.* (2007), p.150). This can be an issue with attitudinal questions, which comprised my schedules. On occasion I changed the sequence of questions to maintain the flow and rapport of the interview and understand that this too can introduce bias. I paid attention to minimise my use of leading questions, particularly whilst probing participant answers that make "assumptions about interviewees or 'puts words into their mouths', where the question influences the answer, perhaps illegitimately" (Cohen *et al.* (2007), p.151).

All the interviews were audio recorded to ensure accuracy and completeness of the data. Validity of the research was further ensured by my maintaining of a full record of my activities whilst carrying out the research, including the raw data (e.g. interview transcripts and field notes), research journals, and data analysis (Robson (2011)).

3.8 Generalisability

Generalisability is the view that theory generated from research may be useful in understanding other similar situations. However, it is argued that when qualitative interviews are completed with a small number of people in a particular organisation, such as in this study, it is impossible to generalise the

findings to other settings. Instead "the findings of qualitative research are to generalise to theory rather than populations" (Bryman (2012), p.406).

The use of semi-structured interviews, focus groups, documentary data and methodological triangulation in this study provides a rich account or description that others can use as a reference to make judgements about whether it is possible to transfer the findings to other settings. Bryman (2012) states "it is the quality of the theoretical inferences that are made out of qualitative data that is crucial to the assessment of generalisation" (p.406).

3.9 Methodological Limitations

Finally, it is important to acknowledge the ways in which the study was limited in my choice of methodological approach.

3.9.1 Sample

Based on my knowledge of the police service, and Hampshire Constabulary in particular, I employed a purposive sampling approach to sample participants whose key characteristics were relevant to my research questions. Using non-probability sampling limits my ability to generalise to the wider population. Due to practical constraints (see section 3.3.1) I chose only to include police officer middle managers at Sergeant and equivalent rank undergoing a leadership development programme. This limited my study of leadership development to that context and did not allow me to, for example, compare or contrast with leadership development of police officer middle managers at the Inspector or equivalent rank. I also chose to conduct my research within Hampshire Constabulary, thereby limiting generalisability to other police areas or organisational settings. In my analysis and presentation of the data, therefore, I took care to be clear what I could and could not infer from my chosen sample.

One of the problems of a longitudinal study is that of sample attrition i.e. when participants leave the study. The fieldwork for this study coincided with

a period of major organisational change within the Constabulary, the Organisational Change Programme or OCP. Fortunately, none of the police officer middle manager participants left the study. However due to changes to departments and teams across the organisation there were changes to all but one of the police officer middle managers' subordinates and line managers during the period between the 6 and 12 month points following their leadership development programme. The fact that I used purposive sampling to select the participant sample groups "in terms of criteria that were central to the topic of the research" (Bryman (2012), p.423) ensured that although the subordinates and line managers changed the data generated was still valid in addressing the key research questions.

3.9.2 Interviews

My choice to use face-to-face interviews over other available data collection techniques like questionnaires had a number of disadvantages. Interviews are time consuming and it required careful facilitation on my part to keep each interview to schedule, and not allow the session to go beyond the time I had stated to participants. The effect of interviews over-running, particularly with busy participants at their place of work, was to risk making unreasonable demands on their time and make them reluctant to participate in future sessions. Although use of interviews allowed me a breadth of coverage across a range of people in the Constabulary, the time consuming nature of interviewing meant that I was only able to include a relatively small number of people compared, for example, to a survey or questionnaire. Conducting interviews also required careful planning and preparation: securing agreement and/or permission; making arrangements to visit; confirming arrangements; and rescheduling appointments often at short notice due to the nature of the participants' work.

I had also to consider the conduct of the interview and avoid that which would limit or bias participant responses and therefore the corresponding data. My training and experience as a police officer however assisted me in understanding the importance of building rapport, asking open questions,

listening more than speaking, using probes to get participants to expand on their views, and avoiding use of, for example, leading questions. As already discussed in section 3.6.1, the fact that I am a member of the same organisation as the participants highlights a particular issue of interviewing in this study, that is the ability to remain neutral and "avoid appearing to share or welcome their views" (Robson (2011), p.282).

Interviewing also placed me at a disadvantage in data collection and analysis with the requirement to record interviews and get the interviews transcribed. I was able to employ a willing transcriber from within my Department in the Constabulary, experienced in preparing interview transcriptions for court proceedings, however in doing so and not choosing to do my own transcriptions I lacked the benefits at an early stage of "bringing me closer to the data, and encouraging me to start to identify key themes, and to become aware of similarities and differences between participants' accounts" (Bryman (2012), p.486). Another limitation is that "transcriptions inevitably lose data from the original encounter. This problem is compounded, for a transcription represents translation from one set of rule systems (oral and interpersonal) to another very remote rule system (language)" (Cohen *et al.* (2007), p.367). In particular, in qualitative research it is not simply a case of what people say but also the way in which they say it. I therefore attempted to reduce this particular limitation by listening to all the interviews at least once and making relevant notes before beginning the coding process. It was also necessary to have the interviews transcribed after each set of interviews were completed in order to ensure analysis was an ongoing activity, and not left to the end of the fieldwork phase when the amount of paper and data could be overwhelming.

3.9.3 Focus Groups

Use of focus groups also has a number of methodological limitations. The one which is most relevant to this particular study is that they are difficult to organise. Particular issues include securing agreement of participants to take part, arranging for those participants to be in one place for the interview, and

at a convenient time that does not interfere with either team or individual commitments.

Focus groups are difficult to control: keeping to the interview schedule and timing; facilitating individual contributions; and avoiding participants speaking over one another. In particular "the interview process needs to be well managed or the less articulate may not share their views, extreme views may predominate and bias may be caused by the domination of the group by one or two people" (Robson (2011), p.295). My previous experience as a Training Sergeant assisted me in facilitating and managing the interviews and being alive to the group dynamics and associated problems.

Focus-group recordings are usually longer and therefore more time consuming to transcribe "because of voice pitch and the need to take account of who says what" (Bryman (2012), p.517) and as a result more difficult to analyse succinctly. It was particularly important for me to listen to the focus group interviews to "take account of the context and circumstances in which the data are gathered" (Robson (2011), p.297) because the data obtained depended on the group dynamics in each session. In analysing the data I was also mindful that focus-group data represents collective phenomena not individual ones, and less emphasis can be placed on strength and consensus of opinion. However, focus group interviews provided the nature and range of views, and the extent to which certain issues recur across groups.

4. Results

Appendix K shows the six research participant groups and data collection methods, and provides a key for the findings summarised in this chapter. The results are organised into the key research objectives introduced in Chapter one. The grid at Appendix F was developed to ensure that each objective, on which the research questions were based, reflected the five research questions. Direct quotes (shown in italics) from the research participants will be used to illustrate the findings where applicable.

4.1 The Hampshire Constabulary Leadership Charter

In 2013, Hampshire Constabulary introduced a Leadership Charter, a one page document that focussed on leadership at all levels of the service (Appendix A). The Charter stated that people who work for the Constabulary will:

- Be visible, proactive and provide clear direction
- Make timely, effective and consistent decisions
- Tackle poor performance and behaviour, sooner rather than later
- Be fair, inclusive, promoting equality and our values
- Be approachable and authentic
- Be prepared to learn, welcome new ideas and taking responsibility for their actions when things go wrong

In following these Principles, as they became more commonly known, people in the organisation will:

- Know what is expected of them
- Be empowered to make decisions
- Work in an environment that is positive and stimulating
- Be recognised for the good work that they do
- Have the opportunity to develop and flourish

- Engage in challenging discussions within their teams

The Charter was inspired by the Chief Constable's vision that leadership should be about:

"People being effective at every level of the organisation." (CC)

The Charter's contents were drawn up following consultation with representatives from all ranks and staff within the Constabulary, using focus groups and e-mail questionnaires. Officers and staff were asked about their views on leadership and what it should look like in the organisation. The results were collated and the key points comprising the Charter were presented to the Chief Constable for sign off. When asked what leadership model or style the Charter promoted, the Chief Constable was keen to stress that he didn't want the Charter 'pigeonholed', that it reflected no particular model or style, and that it should be *"holistic"* and *"practical."*

The Leadership and Professional Development Manager described how the Charter linked to existing national leadership frameworks, in particular the Policing Professional Framework (PPF). He explained how the Charter had been mapped to the PPF:

"The main purpose for that, to be honest, was around promotion and selection processes so that it was clearly to say, if we're gonna do a board and select people as to how effective leaders they are, then we ought to be saying, ok these are the national, personal qualities, but how do our leadership principles map into those, and they did directly." (L & PD M)

The Chief Constable explained that the Charter was not based on any existing national leadership strategy promoted by the Home Office or College of Policing. Analysis of the relevant document, Leading Policing: A Strategy for the 21st Century (National Police Improvement Agency (2008)), appears to support this. Described by the Chief Constable as a response to a political call from the then Home Secretary, probably as a result of the dissatisfaction

with the senior police leadership, the Strategy was a consultation document designed to address the particular key leadership issues affecting policing at the time including community engagement, performance culture, partnership working, increasing expectations and limited resources. Although the Strategy took into account the current thinking of leadership and leadership development in the wider public sector, private sector and academia, no models or styles of leadership were considered and no obvious 'leadership' conclusions drawn from this consultation. Indeed the Strategy stated "no single theory of leadership will capture the complexity and diversity of leadership activity and styles that have to be displayed across the broad spectrum of responsibilities that are the accountability of the police service" (p.10). In addition, although it was recognised that in the absence of an effective national leadership strategy the resulting decentralisation of leadership development had led to inconsistency in training provision across Forces, the Strategy fell short of mandating a set of consistent national standards for leadership. Instead a set of 'Leadership Development Principles' was provided to underpin leadership development within the police service (Appendix P).

To take forward recommendations from the consultation, the national Strategy set out a Leadership Development Plan outlining priorities to enable the police service to meet the current and new challenges of policing, improve and develop the overall performance of police leaders at all levels within the service, and ensure the supply of future leaders through more effective identification and development. However, most if not all of the actions focused on senior leadership development with little emphasis on other levels, in particular middle management. Subsequent changes to and improvements in leadership development in the police service including revision of the High Potential Development Scheme, updating of the Strategic Command Course, and a specific leadership development course for senior women serves to highlight this. As the Chief Constable asserted, the Hampshire Constabulary Leadership Charter would not appear to be rooted in either the generic Leadership Development Principles or the Leadership Development Plan set out in the national Strategy.

Knowledge and understanding of the Hampshire Constabulary Leadership Charter amongst the remaining participants of the study fell into three specific areas:

Relevance and applicability

Communication

Template/framework for supervisors, promotion and selection

It was clear that knowledge and understanding of the Charter and its perceived relevance to role was proportionate to management level, with little or no knowledge of the Charter at subordinate level and greatest knowledge and understanding of it at line manager level. Subordinates expressed little interest in the Charter and in particular questioned its relevance to them:

"I guess I don't know about them at all, I knew they existed but I haven't bothered to read them because I can't see how they affect me doing my day to day job. They probably do but I don't know how." (SUB 6M 4 M1)

"It's relevance to the job role isn't it, yeah my job role is nothing about this, you know, I can, we all take leadership in our own jobs that we get assigned, but we don't, the leadership of the office is down to, well in this office it's……, so you kind of concentrate on what's relevant don't you." (SUB 6M 1 M2)

Where there was acknowledgement of the Charter and its principles, subordinates understood that they applied to everyone:

"Everyone needs to take notice of them, they apply to everyone and no matter what sort of rank you are." (SUB 6M 3 F)

Furthermore, that they reflected the characteristics identified as being important for an effective leader:

"What's expected of not just leaders….but probably contains what's expected of us all as well to lead….rather than just middle management or higher management, probably what we're expected to do as well….lead by example, show compassion to others." (SUB 12M 5 M)

A number of the police officer middle managers also questioned the relevance of the Charter to the 'rank and file'. Line managers supported this view:

"It's just easy to think it doesn't really apply to you. I think a lot of people talk about leadership and think of the senior leaders within the organisation, rather than themselves as being a leader." (LM 6M 5)

Nevertheless, all participant groups described their understanding of the principles of the Charter, albeit limited in some cases, in terms of key characteristics and functions of an effective leader which will be described in more detail in the following section. In particular, participants identified the key characteristics: being a role model, decision making, being approachable and having integrity, and the functions: motivating the team, removing barriers to individual and team performance (through dealing with poor performance and behaviour) and learning from experience:

- Be visible, proactive and provide clear direction

"What they want is leaders to be visible and but also to encourage others … encouraging people to go forward and be confident in what they are, what they do." (POMM Pre 1 F)

"Leading from the front … set an example." (SUB 6M 3 M2)

"A visible person … role model." (LM 6M 1)

"Taking responsibility, leading by example, being open and honest." (LM 12M 2)

- Make timely, effective and consistent decisions

"Someone you can go to and ask them something, whatever it is, resources or an answer to a question and expect that a decision is made or an answer is given." (POMM Pre 1 F)

"Making decisions which are well thought out but you make those decisions without delay." (LM 6M 3)

- Tackle poor performance and behaviour, sooner rather than later

"Performance is, challenging early, stop letting things go on." (POMM Pre 2 M)

"Challenging poor performance: turning up late, I need to be challenging that. Sickness management, you need to be dealing with that appropriately." (POMM Pre 3 M)

"Poor performance is recognised and dealt with." (LM 6M 3)

- Be fair, inclusive, promoting equality and our values

"A professional person that they can trust and have confidence in to work and deliver for them." (LM 6M 1)

- Be approachable and authentic

"Being authentic …it's being your own person." (POMM Pre 3 M)

"Being a role model, being approachable." (POMM Pre 2 M)

"(You) have to be an authentic leader." (SUB 6M 1 M1)

- Be prepared to learn, welcome new ideas and taking responsibility for their actions when things go wrong

"Honest, integrity, learning from experience." (PT/2)

"Learning from experience and doing the right thing for the right reasons." (LM 6M 5)

It was evident that communication of the Charter to the wider organisation was the main reason for participants' lack of knowledge of and interest in it:

"(It's) one of those things that flashes up on the screen saver." (SUB 6M 4 F)

"It's a poster that gets stuck up in a toilet." (SUB 12M 5 M)

There was also feeling amongst subordinates and police officer middle managers that there was no active reinforcement of the principles by senior management, that they were not reflected in the day-to-day environment, for example in dealing with poor performance. One of the police officer middle manager participants summed up:

"I understand the ethos to be pretty much what I've been talking, open, honest, constructive, visible leadership. Where a decision is to be made, make the decision. If you need to change your mind, change your mind, but do it with the right intentions and be open to everyone's opinions. You know I think that's basically what they're getting at and I absolutely agree with that, I just don't think there's a huge amount of that in the mid to high rank management structure." (POMM Pre 4 M)

More significantly the Charter was viewed by subordinates and police officer middle managers as a corporate or organisational template for promotion or selection for other roles. Subordinates in particular stated they were more likely to 'learn' them if they were studying for a board:

"I had to learn 'em through necessity." (SUB 12M 4 F)

Line managers appeared to have a greater knowledge and understanding of the Charter and variously described the principles as the 'golden thread' running through the supervision and management of staff. It was described as a 'framework' for leadership, the 'standard' for leadership for all ranks and roles:

"It's a framework which is basically putting down in words what you should be achieving as a leader and what you should be aspiring to as a leader and also saying to people outside of the organisation and telling the staff that you do lead, these are what the expectations are of the organisation from a leader." (LM 12M 2)

What is apparent from the analysis of the Constabulary's Leadership Charter is that the model or style of leadership that the organisation leans towards is a leader-centred one. A leader-centred perspective emphasises the competencies of leaders, and places learned skills at the centre of effective leadership performance. Furthermore, in support of the Charter's assertion that everyone in Hampshire Constabulary is "a leader in some respect whether they line manage or not," Northouse (2013), p.58 states "to describe leadership in terms of skills makes leadership available to everyone." A number of models of leadership have been applied to the police service and used in leadership development to a greater or lesser degree. I believe this is the first time a 'skills model' of leadership has been suggested and which provides an effective, practical structure for leadership development in the police service. A skills model for leadership development in the police service is the first of three main themes to emerge from the data.

4.2 Understanding the Term 'Effective Leadership'

In considering the term 'effective leadership' two categories quickly emerged from the data from all the case study participants: a focus on 'leader' characteristics or intrapersonal skills, and a focus on 'leadership' functions or

interpersonal skills, providing further support for the skills model of leadership suggested above. The police officer middle managers, subordinates and line managers identified ten key intrapersonal characteristics as important traits of an effective leader:

Being a role model

Decision making

Communication

Being approachable

Knowledge and experience

Integrity

Self confidence

Sociability

Flexibility

Determination

These characteristics are consistent with those traits identified in the literature to be important indicators of potential for leadership. In particular, they mirror seven characteristics of effective police leaders synthesised most recently by Pearson-Goff and Herrington (2013) from their systematic review of literature on police leadership: ethical behaviour, trustworthiness, legitimacy, being a role model, communication, decision making and thinking ability. These key characteristics remained consistent for these three participant groups across the course of the study.

Pearson-Goff and Herrington (2013) identified five key activities important for leaders to engage in: creating a shared vision, engendering organisational commitment, caring for subordinates, driving and managing change, and problem solving. The authors noted also that "there was some difference between ranks in their beliefs about effective leadership and it is common sense that leadership looks different at different levels of the organisation" (p.18). The police officer middle managers described the following key interpersonal functions or activities of an effective leader:

Achieving individual, team and organisational objectives

Motivating the team

Supporting the welfare of and developing individuals and the team

Removing barriers to individual and team performance

Balancing the needs of the individual and team against the needs of the organisation

'Cabinet responsibility' – support for management decisions even if they do not privately agree with them

Learning from experience

The importance of these functions was summed up by the police officer middle manager participants at all stages of the study:

"There is a job to get done, they achieve that job, they achieve the end, their ends, they get that job done and in doing so they engage their team in achieving that objective, but they do it in a positive way, using people's abilities and strengths and identifying those that have weaknesses or lack of experience and building on that as well. So not just getting the job done, but getting it done in a way that benefits the team and the organisation and achieves a positive result." (POMM Pre 4 M)

"It means leading my team in a way that meets the Force's objectives, meets what the Managers expect of the team to be doing….whilst also keeping them happy, the people on the team, keeping them inspired to want to work and being motivated and happy to come into work. So effectively I've got to deliver what the Managers want while keeping the team happy." (POMM 6M 3 M)

"An effective leader, patience, resilience, having compassion, having to be tough when you need to be, having a difficult conversations when you need to and having the balance of maintaining morale and knowing enough about your staff, but also when it's time to get things done, it's important to get that respect and you get things done." (POMM 12M 2 M)

Two of these leadership functions featured significantly in the data: removing barriers to individual and team performance, and 'cabinet responsibility'. On the issue of barriers, police officer middle managers felt it was important to look after 'the little things':

"I'm a great believer in the little things matter a huge amount if they're not looked after and that gets in the way of the individual achieving their aim. So if you're worrying about your leave request that hasn't been dealt with, and it may well be sorted but you just need to know so you can book what you need to book and your wife is, and your partner or whoever is depending on you to let them know so they can do stuff, that gets right in the way of writing the report that you're trying to write…...So I think an effective leader also makes sure that they remove those minor but important barriers to performance because it's about the whole person…..rather than just that job that day." (POMM Pre 4 M)

Often the attention to 'the little things' took priority over more immediate operational issues:

"You come in and there's like 4 leave requests for people in October or whatever. You think well that's not really on my list of priorities 'cos I've got a GBH to go and deal with or whatever, actually if your team, if you give 5/10 minutes of your day just to sorting out their little bits, so they can then go and book their holiday and everything else, they know you care. It is really funny little things like that I've realised." (POMM Post 1 F)

'Cabinet responsibility' featured throughout the study and was influenced by the contextual changes of organisational restructuring (see later).

In previous studies and in spite of the New Public Management (NPM) reforms that elevated the police sergeant to practitioner-manager, police sergeants continued to be viewed as first-line supervisors requiring largely operational leadership skills. Pearson-Goff and Herrington (2013) noted in their review of the literature on police leadership that sergeants placed very

little value on managing and driving change as a leadership activity. In this study, the police officer middle managers recognised the need to support staff through the change process and to be able to deliver corporate messages in a palatable way even if they didn't necessarily agree with those changes:

"I don't give them the corporate pill all the time and obviously there's a lot of important messages that Management want me to give to them and I'll give it in a, this is what the Management want, this is what I think, this is what I expect and if you do it that way we'll be fine and I'll present it in a comical or not overly serious way and then just, I think that's better." (POMM 12M 3 M)

Subordinates supported the key leadership functions identified, emphasising the importance of balancing the needs of the individual and team against the needs of the organisation:

"I'd say it should be a balance with achieving the results and I suppose keeping your staff happy so they're going to work hard for you and help to achieve those goals." (SUB 6M 2 M2)

"Taking that sort of control of staff side of things as well as the job side of things and whatever happens on a day to day basis and obviously managing it in a way that's say good for all and just try and keep everyone happy as well." (SUB 6M 6 M2)

In particular, subordinates were very keen that effective leaders should have a good knowledge of individuals, not only professionally but personally:

"'Cos it's not just the professional issues that arise, it's the personal issues, someone who treats those sensitively and appropriately." (SUB 12M 6 M2)

Furthermore, an understanding of their strengths and weaknesses to be able to support and develop them:

"Someone who knows the team, knows the strengths and weaknesses of the team, then therefore builds upon the strengths and helps to develop or reduce the weaknesses for them to become opportunities." (SUB 6M 4 M1)

"Caring for the team…..and then each and every individual, 'cos we're all different, we'll need different things and I think it's just identifying what each and every one of us needs. Some of us might need more cuddles than others, some of us might just need a kick up the ass and I think it takes a good leader to actually realise that." (SUB 6M 3 M2)

Significantly, subordinates felt it important for an effective leader to be a 'buffer' or to act as a 'filter' between themselves and senior management or other Departments:

"A good DS means a good buffer, they'll go in the DI's office and get a rollicking and come out to us and relay it nicely and say "right, you lot need to pull up just a bit and get on and do this" and I think a good DS, even PS, is a buffer between what management expect, they know what's achievable, and then relaying that to us to go and get it done." (SUB 6M 1 M1)

There was strong agreement that the role of the leader was to balance the needs of management against what the team can realistically achieve. The notion of the police officer middle manager as 'intermediary' is a new concept and although the police officer middle managers did not directly identify with it themselves, the increased pressure on them to have 'cabinet responsibility' was evident. This new concept is supported by evidence from studies on middle management leadership in the Education sector where teachers have also found themselves increasingly part of the middle layer of school leadership structures. In their review of the literature on the subject, Bennett *et al.* (2003) stated "there is evidence that they interpret their role as buffer and bridge. They filter external demands in ways which make them acceptable and practical within their area" (p.7). Similarly, Spillane *et al.* (2002) found that it was important for school middle managers to gain and maintain legitimacy, that "although their formal positions as leaders gave

them some authority to define and interpret district accountability mechanisms for their staff, they had to gain the cooperation of the staff as well"(p.760). The police officer middle manager as 'intermediary' is the second of three main themes to emerge from the data and will be discussed further in sections 4.6 and 4.7.

Line managers also identified with the key leadership functions above. In addition, where police officer middle managers recognised the value of reward and recognition, their line managers placed emphasis on challenging and dealing effectively with poor performance:

"Poor performance is recognised and dealt with and you support others who are dealing with that as well." (LM 6M 3)

"Dealing with poor performance and being accountable, being clear..." (LM 12M 1)

The Chief Constable underlined this stating:

"A good leader does tell people when things are not right and requires tasks to be redone. (It's) easy to dish out the plaudits as a line manager, it's much more difficult to say, actually this needs redoing, it's not good enough, let alone pursue someone for poor performance formally." (CC)

Pearson-Goff and Herrington (2013) identified 'creating a shared vision' as one of the important activities for police leaders to engage in and stated that this was of less importance to the lower ranks of constables and sergeants. The data from subordinates appears to support the authors' assertion that lower ranking officers want leaders "to clarify their expectations, assign specific tasks, and specify procedures to be followed" (p.19). Line managers supported this operational rather than strategic focus:

"Laying out a set of principles, working practices, whatever it may be and trying to build people on to aspire and meet those." (LM 12M 4)

Unsurprisingly, setting or creating a shared vision was an important function of an effective leader in the data provided by both the Leadership and Professional Development Manager and the Chief Constable:

"Providing an environment where people feel motivated to play their part in delivering whatever that aim, vision, direction is." (L & PD M)

4.3 The Leadership and Management Programme

The timetable for the Leadership and Management Programme (First-Line manager – Level 1) is shown at Appendix Q. The course comprised both the soft skills of leadership and procedural inputs on managing human resource issues including unsatisfactory and poor performance, attendance, grievance and performance development reviews (PDRs). The five-day course was developed to replace the modular Core Leadership Development Programme (CLDP) and over time was adapted to include key organisational messages, for example the Leadership Charter. The programme Trainers explained that there was no strong direction about the content of the course:

"We had quite a large 'wiggle room' for what do we think should be in there, how do we think it should be." (PT/1)

A range of teaching and learning methodologies were used in the course including individual and group work, discussion, and presentation. At the beginning of the course, delegates completed the Myers-Briggs Team Indicator (MBTI) Questionnaire described by one of the Programme Trainers as:

"One of the most effective tools for supervisors to understand themselves and to understand teams." (PT/2)

The MBTI is an assessment tool used in the psychodynamic approach to leadership and is used to encourage leaders (as in this case) to become aware of their own personality type, and recognise those of the people with

whom they work to better understand their own behaviour and the responses they get from others. The MBTI results were used to link each session within the course back to personality type and individual difference.

One of the Programme Trainers explained that the original course introduced transformational leadership theory but that this proved difficult to deliver and relate to practical police leadership. Instead and in order to introduce different soft skills and tools for leadership including communication, coaching and mediation, the course used a policing scenario based on the management of a 'virtual' team. The scenario was broken down using the police service National Decision Making Model (NDM). The NDM is used in policing to make effective decisions. It can be applied to spontaneous incidents or planned operations, by an individual or team of people, and to both operational and non-operational situations. It enables decision makers to structure a rationale of what they did during an incident and why. Appendix R shows the NDM and how it was used in the course to introduce relevant models and theories for dealing with the scenario. In addition to these problem solving skills, delegates were also introduced to models that would enable them to deal effectively with conflict, change and delegation through the use of interactive exercises.

The course emphasised practical leadership and management skills for dealing effectively with people and teams. Little input was given on theories of leadership other than to highlight the difference between a transformational style and a transactional style, and the importance of recognising which style is appropriate to any given situation to get the best out of the team. Situational leadership was discussed in terms of the continuum suggested by Tannenbaum and Schmidt (1958) in which two styles of leadership, 'directive' and 'participative', are at the opposite ends with a number of gradations of behaviour in-between. Delegates are informed that whether a leader 'tells', 'sells to', 'consults with' or 'participates with' subordinates in the decision making process depends on the situation, and is about applying the right approach to the right circumstances.

4.3.1 Most Useful Part of the Leadership and Management Programme

The majority of the police officer middle manager participants commented positively on the Programme and the interactive teaching and learning approaches. Of note were the opportunity to share experiences with peers, the MBTI exercise, and increased confidence to use the practical human resource management tools:

"It was more speaking to other Supervisors, how they dealt with certain issues …. People would take it in turns and go "alright, you've heard this, what would you do about that." I found I benefited more from that … I learned a different approach to things … especially listening to how they would take different approaches to things and that was mainly I think some of the work like attendance management and poor performance issues."
(POMM Post 2 M)

The importance of knowing and understanding how to use human resource management procedures featured prominently:

"It was relevant because it's day-to-day stuff, PDRs, sickness, you've got to get those things right for lots of reasons. The day-to-day stuff that people want from you, if you're failing in the basics for them, but they want their leave authorised, they want their sickness sorted out, they want their PDR done so they can apply for a job, whatever, if you're failing them in that, then you're never going to be able to lead them in any meaningful sense, so that's useful because you can't get that stuff wrong." (POMM Post 4 M)

At both the 6 month and 12 month stage of the study the MBTI exercise, and gaining the confidence to deal with personnel and human resource issues were still considered to be the most useful aspects of the Programme. The police officer middle managers had clearly contextualised the MBTI exercise and were using it to good effect in managing their teams:

"Understanding what individuals are like 'cos we're all different, but we've all got to do the same work and then we all do it differently: we might achieve the same goal, but do it differently. It's understanding what floats people's boat and what gets them motivated and how to deal with people sensitively, or telling them straight or whatever or, I think that was the biggest thing for me is understanding I've got a few characters on my shift that, well my whole team are from one end of the scale to the other, and it's having that happy medium with them." (POMM 6M 5 M)

The value of vicarious experience was also highlighted at the 6 month stage of the study as 3 of the 6 police officer middle managers had had the opportunity to take part in an 'action learning set', a follow up to the Leadership and Management Programme. The Leadership and Professional Development Manager described the purpose of the action learning sets was:

"A. to get them back … reinforcing the learning, B. it brings out their opportunity to talk about real-life things and how they've been able to apply it or not, C. also get them to use the GROW model as a format for not only those meetings, sets, discussions but "I can use this as an empowering, leadership approach with my staff", so get them to come up with the solutions themselves, not telling them." (L & PD M)

The Programme Trainers, in particular, supported the use of action learning sets:

"I loved the action learning sets … a great way of having peer discussion and for somebody to be able, given the space, to think through a problem without someone spoon feeding and saying "do this, do that". It's "have you considered?", "what would be the impact of, if you did?"." (PT/2)

One of the police officer middle managers summed up their experience of the action learning set:

"That was the most useful thing for me, because you were talking to people in the same place dealing with other issues and if you don't talk to people you never necessarily know what other problems supervisors can get and it's from those… when you then come across it later on you think oh, I remember somebody had something like that once before … so, it was just talking it through logically and then looking at all the options and then other people having different perspective on how you could deal with it." (POMM 6M 1 F)

4.3.2 Least Useful Part of the Leadership and Management Programme

All the police officer middle manager participants gave examples of positive changes to or enhancement of their knowledge and understanding of effective leadership following the Programme: from understanding their leadership style, to having the confidence and practical tools to deal effectively with individuals and the team. It was evident however that those participants with previous leadership experience in roles outside the police service, and those with 'acting' experience within the organisation gained least from the Programme:

"I can't think of anything that I didn't intuitively know, or have known from previous management jobs outside the Police. But I'm different I guess, having done, to some people, having done other management roles." (POMM 12M 4 M)

This highlighted the common view amongst the cohort that the Programme was too late in their leadership development: that it should be made available prior to and in preparation for a leadership role:

"I started acting in about, after I'd been in for about 4 years and knowing the stuff that I know now from this course would have been a great help back then. So if we have got people that are aspiring to do acting or become a Sergeant … and we want to progress them … then we need to do something like this earlier." (POMM 6M 6 M)

The relevance of the timing of the course underlines the need to develop skills at the right time in the 'leadership path'. The fact that the police officer middle managers valued the procedural inputs is supported by research by Mumford *et al.* (2000a) involving the US military in which it was found that certain skills were more important at certain phases of a leader's career. In addition, the evidence suggests that previous work experience and previous leadership positions held should also be taken into account in tailoring leadership development experiences, a finding previously acknowledged by for example Bettin and Kennedy (1990).

The police officer middle manager participants suggested two areas of improvement for the Programme: vicarious experience and contextualisation, a view supported by the Leadership and Professional Development Manager. The ability to share experiences with peers within the Programme and in follow-up sessions like action learning sets has already been described. In addition, the inclusion of practitioners sharing real-life experiences, and role models to inspire and motivate was considered important in learning successful leadership skills and behaviours:

"What I want is input from practitioners who can give advice to people who are starting out and some input from somebody very high up in the organisation who can inspire us and motivate us to do better, to do everything better and to bring the Force up to where it needs to be." (POMM 6M 4 M)

Participants described the need for context and the benefits of the use of real-life scenarios, case studies and role play. This was supported by the Leadership and Professional Development Manager who stated:

"Often the feedback we've had in many evaluations … how is what we are providing linked to real workplace issues?" (L & PD M)

One police officer middle manager underlined the fact that role play is used to good effect in the training of other police skills so why not leadership skills:

"Scenario based, so building in the stuff you need to know as a Manager, like how the poor performance framework works or the sickness management works, built into a scenario and demonstrations perhaps, or somebody who is experienced and that. We use plenty of role-play actors in interview training, why can't we get one or two of those to play a member of staff that you need to deal with and then talk about it, experience it and build in the practical knowledge of the frameworks and the tools that we have … It's still an interview, you need to build empathy and make eye contact and be prepared, have notes, record what you've done, there's so many similarities."
(POMM 12M 4 M)

Again, this view was shared by the Leadership and Professional Development Manager:

"We'll quite happily say you're going on a two week interviewing course to interview suspects, and I recognise that I'm gonna be sat with cameras on me, recorded and dissected, and yet suddenly say "well, we're gonna do that to you for, a role play for a staff management issue"…."aw, well I don't have to do that!" Why not? 'Cos it's more difficult?" (L & PD M)

4.4 Assessment and Ongoing Development

Police officer middle managers' knowledge and understanding of leadership was informally assessed during the Programme via group exercises and scenarios, and Trainer-led group discussion. No formal assessment of their leadership development was carried out either during or subsequent to the Programme. The Programme Trainers considered any formal assessment, for example NVQ, to be too bureaucratic and that it would result in:

"Losing the value of the teaching … becoming more about the assessment."
(PT/1)

The informal assessment of leadership skills in operational practice was categorised by the police officer middle manager participants into two areas:

feedback and performance. All the participants expected and valued feedback from line managers, peers and the team through their daily interactions and 'one to ones'. They also assessed the success of their leadership abilities through positive indicators of their own individual performance and that of their teams:

"Meeting the objectives [of the Force], that sort of thing. If the team are happy, the team are performing well, not going sick. If the work's getting done and it's being done effectively. I suppose RMS is a big thing, making sure that I'm investigating stuff right. Crime classifications, the hot topic at the moment. Making sure that I get that done." (POMM Post 3 M)

And furthermore through the support of their colleagues and staff:

"Support from my colleagues and my staff. I get lots of support from my peer group, the uniform Sergeants and the other DSs … in terms of my staff, just the willingness to work. People getting on with their job professionally, coming to me when they need me, including me in their, sort of, circles of trust so to speak, which is always a comforting thing for a manager because if you're excluded from their, you know, tea rounds or their jokes or whatever, then you know there's something not quite right. So they include me to the right extent." (POMM 6M 4 M)

Receiving positive performance expectations from and the reassurance and trust of line management were welcomed and considered particularly important in the assessment of their leadership skills:

"We have one to ones every 6 weeks, he books them in advance. So that's good … so he'll feedback where, what his priorities are, 'cos obviously he gets told what objectives the team need to be doing and feeds them back to me so I know where I stand. Just getting a little bit of verbal feedback every now and then, "oh yeah just heard about that job, yeah good stuff, sounded calm and collected, and yeah it was a good update" and just little updates

like that. And I suppose I do just generally get the reassurance that the work I'm doing, he approves of." (POMM 6M 3 M)

"Of all of the lead Supervisors he's got on (the team), he's asked me to do his acting DI when he's not there, so in that way that sort of is nice 'cos I know he's put his trust in me and I know he does, if there's an issue, he does come and we discuss it and he would, I know he comes to me before he'd come to anyone else." (POMM 12M 1 F)

The police officer middle managers also described the value of words of encouragement from their line managers in increasing their confidence in the form of *"a bit of a 'how am I doing' chat"* or a *"little e-mail now and again."* Although the provision of feedback and positive performance cues valued by the police officer middle managers was informal and unique to the individual, it can be argued that they are in fact 'process factors' which Day *et al.* (2014), p.70 describe as those factors "that shape the rate or pattern of development over time." In their review of the advances in leader and leadership development, Day *et al.* (2014) explain that these factors emerge through organisational practices including "mentoring and coaching, 360-degree feedback, leadership training, job assignments and action learning." Police officer middle managers' expectations of opportunities for development post Programme fell into the following areas which include the process factors described above:

> Feedback from line manager
> Informal mentoring
> Self-development
> Learning from experience 'on the job'
> Peer support including action learning sets
> Role models
> Technical training specific to role
> New leadership courses

The provision of ongoing leadership development for the police officer middle managers in the interim 6 months post the Programme however was limited and again differed with each individual. The action learning sets, which all participants had expected to attend as a follow up to the Programme, were phased out with the organisational restructuring. Concern for the effect of the lack of coordinated ongoing development and support was highlighted by one of the Programme Trainers:

"What's really interesting … the people come on the course and they're motivated to do something: have a meeting where they do a SWOT analysis, or do a 30 second plan. They come up with these ideas, and they're keen to do one to ones every six weeks, they go back and people on the team say "you've been to Netley haven't you? Whatever, yeah, yeah." And then the manager, because of the peer pressure, goes "yeah, that's a bit silly" and they revert to type." (PT/1)

By the 12 month stage of the study ongoing leadership development was limited to self-development via personal initiatives, projects and attachments and, for those police officer middle managers in acting or temporary roles, activities preparing them for their promotion board. Some of the police officer middle managers had taken advantage of a number of development courses aimed at their particular role or Department, for example CID Masterclasses. Participants also described two specific leadership development courses: 'Space to Lead' and 'Exercising Your Discretion'.

Recognising that the Force and its staff were going through a challenging time, Space to Lead was introduced "to help people reconnect back with why they joined the force and what their common values are" and "to explore the purpose, future direction of travel and personal alignment with the change shift." The half-day course was mandatory for all line managers, both officers and staff, and was met with mixed reaction by the police officer middle managers:

"The class got drawn into discussing what's going on with the Force change and stuff like that, rather than focusing on leadership as such. Then the stuff they did focus on, there's more self-reflection, but I don't know, it didn't appeal to me, I don't think it benefited me personally and I think they were missing the point a little bit in terms of the stresses and strains that people are experiencing." (POMM 12M 3 M)

"My one was opened up by the Chief Constable … it was interesting to listen to the Chief Constable go through his career, that it wasn't actually that straight forward … for me it was quite a good way of bridging the gap between us and them. When I say them, yeah, the really senior managers because to be honest there is a big gap and it's something that needs to be addressed and those sort of things help … yeah I thought that was quite useful and in a way it was a bit of motivation for me." (POMM 12M 2 M)

The reaction to Exercising Your Discretion however was overwhelmingly positive as one participant summed up:

"I went on that Exercising Your Discretion course which is one day which was the best thing I've done in such a long time and I wish that that had been given to me as soon as I became a Supervisor, if not before, but it was really good." (POMM 12M 1 F)

The course, described by the Chief Constable as *"high impact, low investment"* was designed after the Force recognised that a large percentage of cases were failing at court due to a number of issues including incorrect police charging decisions and poor-quality court files. The aim was to give supervisors a better knowledge and understanding of both formal criminal justice outcomes and out of court outcomes to enable them to make effective and consistent decisions with regard to the outcome of investigations. Without exception, all the police officer middle managers regarded this as a 'leadership' course, empowering them to use their discretion and giving them the tools to support critical reasoning and make clear, auditable decisions.

The lack of ongoing leadership development opportunities, particularly for middle management, was recognised by the Chief Constable who identified the need for an embracing programme:

"One that starts with the identification of potential, the enablement of potential into temporary and acting roles … I think the Sergeant and Inspector ranks probably have been a bit neglected in Hampshire in recent years … I do think it's incredibly important as a gateway to Sergeant and Inspector that you get some training of skills and leadership development and that either comes as pre entry or entry." (CC)

4.5 Effective Leadership Knowledge and Understanding in Practice

Post the Programme, all the police officer middle managers described feeling confident and motivated to lead their teams. The participants variously described the Programme as providing a *"structure"*, helping them to *"analyse the situation"*, and giving them a foundation to *"work on."*

At 6 months post the Programme, the police officer middle managers gave examples demonstrating their application of leadership in practice. Underlining the middle management role of the police sergeant, few of the examples actually involved directing teams at operational incidents. In these scenarios the emphasis was on organisational skills, managing resources and *"letting go"* of the team to carry out the police work:

"We've had some really, really good little jobs recently with DNA hits … last Thursday, a classic example … ident for burglary … it's a prolific offender, he's only been out of prison for 6 weeks. So … setting up that night the whole thing to get him arrested the next morning, using all my organisational skills and resourcing power and management and stuff, and putting things in place that when my team came on duty the next morning, it was all there ready for them … and they can pick up and fly with it the next day." (POMM 6M 1 F)

Key to the perceived success of their leadership practice was knowledge and understanding of the strengths and weaknesses of the individuals on their teams, and being able to adapt their leadership style appropriately:

"Running multiple warrants on a job and I had one or two officers who seemed, they take sort of their time or didn't really want to go and they didn't seem very keen. However, I quickly realised actually that's the way they work, they're sort of more thinkers and they take their time with things and instead of, initially I was like kind of like "right, come on let's go, let's go do this" … that's not how they worked and it was not working at their pace, they need everything explained to them, they need to know exactly why we're doing that and why it's been decided at that time … if we have the warrant they want to see it and make sure everything is fine, and the property, exactly how are we going to enter and that's something where I actually realised at that point people wanted more detail … And it's sort of something which I've taken away now, actually just realising the audience, seeing oh right who have we got here and being able to adapt to that." (POMM 6M 2 M)

The majority of the practical leadership examples given by the police officer middle managers pertained to personnel and resource management. Effective leadership in these circumstances was evidenced in the support and guidance given to individuals and the team. One participant described the development that they had given staff after recognising they had an issue:

"He started making a few mistakes in terms of they were, I suppose, not grasping the seriousness of certain jobs he was going to. One was somebody who had SOPO, to not have under 16 year olds in his address, and there was a blatant 'in your face' example or evidence that another 16 year old had just been at his address and it caused me a lot of paperwork and grief in terms of sorting that out. And anyway so I called him in the office and I think there was two or three occasions where I had to have a chat with him saying I want you to sort it out and you to switch on a little bit and these are the sort of things. And after the third time, I thought hang about this ain't

right, come and have a chat with me and I spent about 45 minutes just having a chat to him, just catching up. He had a lot of tears and all that sort of stuff. It turned out he was struggling to cope a little bit, thinking that he had to live up to the expectations of the rest of the people on the team … he'd been about 18 months in and he's thinking I should be more competent than I am now, and I said no you're progressing at the rate you should be progressing … if you need to take more time to deal with a job, or you need time put aside to get on with some paperwork, yeah come and speak to me, don't need to muddle on as it were" (POMM 6M 3 M)

The importance of knowing and understanding the individuals on their teams was also evident in assisting them to deal with conflict and unsatisfactory performance:

"(They) said a particular officer wasn't doing any work. So my action plan was, okay, this is what I'm going to do, I want to know what jobs you've been to, self-initiated, ones that I've been to, so we can look at who's producing what workload … I knew the officer that they were talking about, it's one of the busiest officers on the shift … one of the officers was at the bottom, one of the ones that was doing the complaining was at the bottom by quite a while … I said to them you all bring different things to the team, we are a team, I look at you collectively, you bring different things … (he) likes to deal with RTCs, you don't. So it's getting to know your officers and working as a team and I said that's what you need to appreciate." (POMM 6M 6 M)

The examples given at the 6 month stage of the study demonstrated the police officer middle managers practicing 'situational leadership'. There was evidence of both 'directive (task) behaviours' and 'supportive (relationship) behaviours' and a recognition by all participants that "leaders need to find out about their subordinates' needs and adapt their leadership style accordingly" (Northouse (2013), p.105-106).

At 12 months post the Programme, the police officer middle managers measured their knowledge and understanding of leadership in terms of their

experience, approachability, determination and judgement. Again it was evident that the participants spent little time engaged with operational work and demonstrated their leadership skills through supporting and motivating staff. One participant described dealing with a member of their team with particular welfare issues:

"So I had to spend, you have to give up more time to somebody like that to help them through than probably you do others that aren't showing any signs of trouble. And I think, and I know that he's appreciated the time that I'd given him … So I think that sort of thing is bringing that personal touch and getting people on board, supporting him when he wanted to go for, apply for the Dog Unit, explaining to him why his application wasn't supported by the DCI, because they're not letting people go, and taking him through this whole rollercoaster. So you do travel a journey with every person I think. And it's just I think finding, at the moment finding time for them is more important than, seems to be more important than finding time for yourself, I think it works sometimes." (POMM 12M 1 F)

4.6 Leadership Performance in the Workplace

Before attending the Programme, the police officer middle managers described their leadership strengths in terms of the same intrapersonal characteristics identified as important for an effective leader. Where the participants identified weaknesses, a number of interrelated themes began to emerge:

    Emotional stability
    Finding the balance
    Organisational culture

One participant described struggling to effectively manage their own emotions in situations where they or their team were criticised:

"Sometimes I might care a bit too much like what people think of me. Had a bit of a crummy email, that's last week because some team thought that we weren't pulling our weight and it was completely unfounded … Long story, but anyway, so I took that a bit too much to heart and do you know what I mean, I thought this ain't fair, I'm working hard here and that sort of thing and perhaps caring what my team think as well. I suppose some supervisors don't overly care what the team think of them, "well I'm here to do a job and as a team I don't care if you like me or not" … I'd like to think that they do think highly of me, if that makes sense." (POMM Pre 3 M)

Another participant described the need to control their non-verbal communication in situations where individuals failed to complete tasks appropriately, stating that their facial expressions 'gave them away'. The same officer admitted struggling to manage an individual's sickness absence as they felt that the attendance management policy was too rigid in dealing with a potentially terminal illness:

"I understand that … if we think this person is really taking the mickey out of the system, absolutely fine, don't have an issue with it. If we have someone that has cancer … no it doesn't sit well. It doesn't sit right, but that's not me as a Police Officer, that's me as a person, as a human being." (POMM Pre 6 M)

The ability to manage one's own emotions in relationships with others was also considered key in finding the balance between being one of the team and being the leader:

"I think you can have a laugh to a point and then I think you've got to be careful as a leader that you have to remember that, what's the thing, the 'cabinet responsibility' stuff, so not showing or expressing anger about somebody that's done something, or an email you've just received or, you know, you have to be, there is a line that you don't cross with your own team. You never tell them too much of your own opinions about other people, and I think I'm just learning that … that I have got to bite my lip." (POMM Pre 1 F)

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Difficulty in finding the right balance as a new 'leader' again underlined how the role of sergeant has evolved from practitioner-manager to middle manager. One participant described the conflict they felt:

"Sometimes I get too much involved in a day-to-day job ... I joined the Police Force to drive fast cars and catch baddies. That's what I joined the Police Force for and I'm still a Police Officer, I still love doing it and I think I fall back into that role too much and find myself getting tied up with something, an individual situation, and then I've then brought myself away in my role as a Supervisor and now I can't oversee. What I've done there has affected now my role as a supervisor, not only am I trying to manage my own job, I've now got to try and manage a team and I've brought myself too far out of my supervision role. I've technically probably fallen back into my PC role. Now there's no definition to say that no officer within the Police Force can't drive fast cars and catch baddies, but as a supervisor I need to keep myself, oversee it and manage it, but not get myself too involved." (POMM Pre 5 M)

Struggling to manage emotions and fulfil the middle manager role was also considered a weakness in dealing with the prevailing organisational culture, and further highlighted the sergeants' 'intermediary' position. In particular, work/life balance featured prominently throughout the study:

"I come to work and I do a good job I think, but it's not the end of my world and I like to go and do the rest of my life at the end of work and so being the person that has to tell everybody else you're staying or you need to stay 'cos "we've got to do this" is sometimes quite hard and I have to put a brave face on and do that. So I find that hard because I wouldn't want it to be said to me. If the world comes to an end and everybody's got to stay at work 'cos 7/7's just happened then fine, absolutely fine, absolutely justifiable reason for that. But if some drug dealer from London's here and sitting on a toilet and waiting to pass a package of heroin and we've got to keep people on to deal, I struggle with the cause and effect." (POMM Pre 4 M)

At 6 months post the Programme the police officer middle managers appeared more cautious in describing their leadership strengths. The emphasis was placed on the key activities identified as important for effective leadership, in particular supporting and valuing their teams through the use of good communication skills and decision making, and by being personable and approachable.

The emotional 'burden' of leadership continued to feature as a weakness:

"Sometimes I don't want to be a leader I suppose. Only 'cos, it's not even sort of work related, but just think the burden sometimes is a lot. Like a couple of occasions where somebody has said something in the office or something and I thought "oh, that's out of order, I need to deal with that," and then I'm so busy, that moment, I should have taken the moment and deal with it and then it's gone." (POMM 6M 1 F)

One participant described their emotional feelings about dealing with conflict:

"It's not that I don't deal with confrontation, it's that I seek to avoid those situations in the first place … I want the ship to sail smoothly, everyone to be professional and enjoy themselves … I make a mistake sometimes of asking somebody if they've got capacity to do it, rather than finding out first and then telling them to do it because I want people just to be on board and say "yeah no problem." In those situations, the problem that occurs is the person who's the most willing always gets the work and it's not fair on them because then their colleagues get away more lightly, and so it's recognising that and making sure that you're not penalising somebody for being keen." (POMM 6M 4 M)

Work/life balance, a factor that appeared to impact on participants' emotional stability, was highlighted again by one of the cohort. The participant described how a significant commute to work had left them feeling demotivated and lacking in enthusiasm but also acutely aware of the possible effect on their team:

"You think "oh no this is not good" and gets you demotivated, your enthusiasm goes down and you don't enjoy coming to work, and I'll be honest, I don't enjoy coming to work and I'm very passionate about my job, but I don't enjoy coming to work at this moment in time ... I'm trying my hardest to not let that have a knock on effect on the team." (POMM 6M 5 M)

At 12 months post the Programme there was no evidence of any change in the police officer middle managers' perceived leadership strengths from the 6 month mark. It was clear however that the participants still struggled to keep their emotions in check and described *"caring too much what others think,"* and *"not letting my stress affect how I deal with somebody else's probable stress."* The need to define their leadership role and maintain 'cabinet responsibility' was also still evident:

"I would still say sometimes forgetting that I'm a supervisor and not one of the, not one of the lads, but you know, I just have to check, I still have to check myself on occasions about saying things, even though I know I shouldn't." (POMM 12M 1 F)

Maintaining and promoting a healthy work/life balance continued to figure significantly as a positive indicator of effective leadership performance:

"I don't want to go home before they do and it's me, it's not necessarily thinking they won't do their job, and I want to be there to give them support but also to show actually I don't mind staying on there. However, some people must see that actually he's always here, yeah, so it's finding that balance ... sometimes you do need to stay on, but other times when you're done, yeah don't stay on." (POMM 12 2 M)

Another participant summed up:

"You're still going to get the same out of me as day one ... you just learn as you go along that in actual fact I've got a life outside this job. There's been huge problems in my life throughout my career that have had a massive

impact on my home life and it's all because of work, work, work and I'm not prepared to make those mistakes again." (POMM 12M 5 M)

At the 6 month stage of the study, the police officer middle managers' subordinates <u>and</u> line managers identified all of the key characteristics as their respective police officer middle manager's leadership strengths. In contrast to the police officer middle managers however, subordinates and line managers also described some of the key functions as leadership strengths, for example being supportive of individuals and the team:

"Compared to some Sergeants that I've had before … he will try and find the time, even if he's doing a few other things, he'll try and find that little bit of time just to listen to whatever it is, if it's job related, work related or not, he will take that bit of time and listen and take it in and then try and do something, whatever he can to help out." (SUB 6M 6 M2)

Line managers in particular noted that the middle managers were not afraid to tackle poor behaviour or performance:

"He will not shy away from taking on things that people do who are lazy, dishonest or aren't performing and deal with that at the level that it needs. So that's pleasing to see." (LM 6M 3)

Subordinates felt that a particular strength was valuing staff, demonstrated by the police officer middle managers in giving praise or thanking individuals:

"She appreciates good work as well, she's never backwards in coming forwards about saying "thanks" or "good job." If you've done something good then there will be praise the following morning or that evening, and likewise for staying on, it's always "thanks for staying on," it's never taken for granted." (SUB 6M 1 M2)

"If we've had a big job where we've all got involved, we'll get a well done and stuff … that's one thing that we didn't used to get, we would do jobs, there

wouldn't be any feedback or anything like that and now I'd say … he will make a point, he'll remember that, make a note of it and he will, like even whether it's individuals or as a team, the next day he'll say "well done guys we worked as a team yesterday doing X, Y and Z, you did this." Even if it was a small part that someone felt they played, he would involve them."
(SUB 12M 6 M2)

The police officer middle manager's role as 'intermediary' was also evident as a strength:

"She is that bridge between upper management and us … what we need to know to achieve what they want, also make it achievable for us to do and I think she does that very well. I think she takes in a lot and then passes out what she has to pass out. She doesn't burden us with extra information."
(SUB 6M 1 M1)

Interestingly both subordinates and line managers identified similar leadership weaknesses to the police officer middle managers. Both identified the need for the police officer middle managers to demonstrate emotional stability and described the consequent impact of situations that caused them stress or anxiety. For example, they described the impact of personal circumstances on their middle managers' ability to provide effective leadership. One subordinate, for example, explained how their middle manager's circumstances often meant they were not present to provide direction and support at critical times:

"If you're not here you can't be effective … sometimes you go to a job an hour before you're due off duty and you've got to write it up and it's critical and you need to speak to your Supervisor and they're not here. So you've automatically got a negative view of him or her because they're not present and it's difficult to see past that the next time they're on duty to say "right clean slate, good day, I've got his job today" and you can't do that because in the back of your mind you know he wasn't there when you needed him two days ago." (SUB 6M 5 M1)

The middle manager's line manager underlined the impact on the team:

"I think his emotions have been out there and I think that's knocked his team and I think that then makes his life more difficult and they're not respecting him … but as a result they get the impression that he doesn't care about them." (LM 6M 5)

Subordinates also recognised the need for their middle managers to maintain a healthy work/life balance, again underlining the impact of failing to do so on their leadership effectiveness:

"She's motivated, she's always on the phone, always on an MDT which for us is great. If she burns out, being completely selfish about it, if she burns out she's no good to our team and I don't want her to burn out either, she's good at it, but she's got to switch off." (SUB 6M 1 M3)

Line managers identified with the police officer middle managers that they often struggled to find the right leadership balance:

"I think on the one hand (he) wants to be one of the boys and has that jocular sort of level to his character and on the other hand he wants to be taken seriously. And it's about bringing them down to balance a little bit." (LM 6M 6)

Line managers accepted that there was a balance to be struck between being 'visible' and 'leading from the front' and not being drawn into the day-to-day operational activities of their subordinates, again further evidencing the change in role of the sergeant from practitioner-manager to middle manager. The need to balance the needs of individuals and the team against organisational objectives was also considered key. The often difficult requirement for the police officer middle managers to act as the 'intermediary' was recognised:

"We've had some requests for staff to go elsewhere and she's been very sort of strong in terms of protecting them, being aware of what they're workloads

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are. She is a strong supporter of what they can and cannot do and yet where there have been times when I've had to say "I hear you, but unfortunately we have to," she is, she does have cabinet responsibility." (LM 6M 1)

This role conflict was identified by Dean and Gottschalk (2013) in their study of police leadership roles. They conceived of this middle management level as a 'go-between' position between a 'spokesperson' and an 'entrepreneur' in that "such police managers must steer a course between promoting the unit they belong to (spokesperson role), in terms of upward management and taking a strategic outlook (entrepreneurial role) as a future planner that involves taking into account the socio-cultural context and environment in which today's police must operate" (p.313).

When asked to consider how their police officer middle manager's leadership performance had changed during the 6 months since the Programme, subordinates variously described their managers as having *"settled in"*, *"mellowed"*, and as being more *"all round."* Subordinates and line managers described the middle managers as having increased confidence in managing day-to-day tasks and managing individuals, and as a result they and the teams had increased confidence in them. Subordinates attributed the increase in confidence to the police officer middle managers learning through experience, in particular acting positively on feedback:

"Shift morale has kind of varied, we've had quite a few changes and I know certainly that, obviously, people have had one to ones and he seems to have listened to feedback and things have changed on shift and morale I feel has definitely picked up quite a bit." (SUB 6M 6 F)

Line managers described how successful experiences had increased the middle managers' self-confidence and how those experiences had positively affected their leadership abilities:

"He's become more confident, confident in his own abilities and those of his staff. Confident in dealing with other people in both the organisation and

outside agencies which can be really tricky at times, particularly when you're dealing maybe at the same rank or above. That may be a mental health matter that he's dealing with, the manager for that … or it could be a Custody Sergeant who carries a lot of weight or a Detective Sergeant who is badgering him. So I think he's become much more clear and his knowledge has improved considerably and I think he's using that knowledge, that experience in a positive way, using that to influence other people." (LM 6M 3)

Subordinates also felt that their middle managers had taken the time to get to know individuals and adapt their leadership style accordingly:

"He knows who he can give certain jobs to and he knows who's going to do, who's going to do what on a job, and other people, well they need a little bit of guidance, keep an eye on their, their jobs and on their box and stuff like that." (SUB 6M 3 M1)

At the 12 month stage of the study it was evident from the interviews with both subordinates and line managers that they perceived that the key characteristics considered important traits of an effective leader were embedded as their respective middle managers leadership strengths. Subordinates continued to place great value on effective 'people skills' and, without exception, described their respective police officer middle managers as *"supportive"*, *"developmental"*, *"caring"* and the *"go to"* supervisor. Subordinates continued to reiterate the importance of their middle manager observing the 'line in the sand', underlining recognition of their manager's middle management role. Subordinates and line managers also continued to observe the police officer middle managers reacting negatively to stressful situations. The middle managers were described as taking things *"a bit personally"* and letting their *"emotions go sky high."* Subordinates and line managers described witnessing middle managers' consequent physical reactions including lack of patience, frustration and mood swings. There was however no apparent steps taken by the organisation to assist the police officer middle managers with stress management to help them avoid the workplace anxiety and stress.

At this 12 month stage where the police officer middle managers still valued positive work feedback, line managers questioned the need to provide this support and reassurance highlighting it, arguably wrongly, as a leadership weakness:

"Sometimes she puts things to me that she doesn't necessarily need to and she's looking for the confidence. I don't know whether it's looking for the confidence or looking for the support to bolster her confidence, or whether it's just she works hard and whether she's just looking for the recognition, "I want you to know that this is what I'm doing." And both of those are valid things, but you think sometimes do you know what, you're doing this sort of standing on your head, you don't need…you know, it's easy for me to say "you don't need that"." (LM 12M 1)

Line managers perceived no dramatic change in the police officer middle managers' performance at 12 months post the Programme but that they continued to observe them grow in confidence through positive learning experiences:

"He's got more confidence because he's been through those experiences and learned, whether it's HR stuff on his teams, development stuff on his teams, whether that's students, sickness, discipline. Dealing with incidents whether missing people or serious crimes, forging relationships with colleagues." (LM 12M 3)

Subordinates shared this view and agreed with the line managers that the middle managers demonstrated their most effective leadership performance through the good knowledge and management of staff and their issues. The middle managers were variously described as *"credible"*, *"reliable"*, *"empathetic"* and *"nurturing"*. A new characteristic indicative of effective leadership, that of 'resilience', also emerged from the subordinate interview data 12 months post the Programme. Resilience is the "capacity to recover from and adjust to adverse situations" (Northouse (2013), p.265) and was fundamental to the middle managers maintaining their leadership

performance throughout the study which coincided with a period of significant organisational change discussed in the next section.

4.7 Key Leadership Issues for an Operational Middle Manager

Prior to attending the Leadership and Management Programme, the police officer middle managers identified 'people management' as their main leadership issue. Although the participants acknowledged the need to oversee their team's day-to-day workload, the biggest emphasis was placed on motivating and supporting individuals and ensuring that 'HR' issues were taken care of:

"If your team is working well and are running their investigations well, then mostly you haven't got a huge amount to do in terms of getting involved in those. But there are always leave requests and HR stuff and sickness, and planning leave and rotas and stuff" (POMM Pre 4 M)

Attention to 'the little things' like leave and duty changes featured significantly:

"Leave is the big thing, leave is almost all the team care about and they get a real bee in their bonnet when they're not allowed leave because the team isn't big enough to allow it." (POMM Pre 3 M)

The shift in the role of the police sergeant away from directing and resourcing the policing activities and tasks of the team to one of 'personnel leader' mirrors the findings of Dean and Gottschalk (2013).

There was recognition of the need to meet organisational objectives but it was evident that there was a distinct move away from the 'performance' management role of the police sergeant as described by Butterfield *et al.* (2005). Where these authors had observed the negative impact of the devolution of performance management to police sergeants on their ability to lead and support their teams, there was again evidence for the new

'intermediary' role of the police sergeant in balancing the organisational and management expectations against the needs and capabilities of individuals on their teams. One participant described the need to allow individuals the flexibility and support to do a job which, more often than not, cannot be measured by meeting targets:

"A lot of stuff that we deal with, it isn't actually a police matter. Now that's a lot of the stuff that doesn't actually produce a statistic on the piece of paper, it goes unrecognised sometimes and that's why I'm not performance driven because if I said to my team of officers "right, you've got to do this 'cos that ticks a box" or "that gets us a mark" or whatever it is, I think it takes away their element of discretion and their common sense and who they are as an individual … you've got to have that balance there, you can't 'robot' somebody into "right, you're just going to do this, you're just going to do that", you have to allow that flexibility for them to be a human being, who they are as an individual … Let's give them a bit of expectation and guidance as to what the Force expect to allow them that balance." (POMM Pre 5 M)

There was very little evidence at this stage of the study of any 'change management' responsibilities in spite of the impending organisational restructuring. One participant however did allude to the issues to come:

"Key leadership issues at the moment, that has got a lot to do with the OCP and shift changes, shift pattern changes. Keeping the office, team, on an even keel while all that's happening and beyond it. Keeping people motivated while, in such uncertain times, but the best way to do that I think is by keeping them informed in an open, transparent and timely way. And sort of key challenges are those things: change, uncertainty, resourcing, managing the workload with a reduced workforce and managing it fairly. Making bold decisions about what we will and won't deal with." (POMM Pre 4 M)

At the 6 month stage of the study, the 'Organisational Change Programme', or OCP as it became commonly known, had begun to impact on the police officer middle managers. The emphasis was now on their role as 'change

agent' and this presented them with their key leadership issues. Cuts to and movement of staff, reductions in supervisory ratios, and the resulting increase in workload for both the police officer middle managers and their staff were identified as presenting them with their biggest challenges. Changes in and the introduction of new administrative processes added to the perceived increase in 'bureaucracy' and concern about their ability to effectively manage their teams:

"Officers are having to pick up more and more to do, and obviously supervisor ratios have dropped, so I've got more officers to look after than I would have before and soon it's only going to go up again, it's soon going to be two sergeants for 27 officers on the new team, which is quite a lot to do … I'm struggling already with the volume of admin coming in, I'm not going to be able to do it for two and a half times as many people at the end of the day." (POMM 6M 3 M)

Their role as 'intermediary' and the need to meet expectations from senior management above and those of their subordinates below was clearly evident:

"Most people are okay and there are some that weren't quite, didn't quite get what they wanted and assisting those people through that process …   and nobody, I don't think, or not many of them are looking forward to having to travel to Basingstoke. And there's not a huge amount I can do about that, other than to represent them as a bit of a 'shop steward'. But also then represent the organisation back to them, so you're very much in the middle." (POMM 6M 4 M)

Though the police officer middle managers agreed that supporting their staff through the changes was paramount, one participant summed up:

"This is how it is, you can't take it personally, you really can't, this is what's happening, this is the money that has to be found, this is how it has to be found, whether we agree with that or not. We're not the only organisation

that's going through it and it will be happening. And I think you've just, you've got to accept it, not to take it personally and to make the best out of it that you can." (POMM 6M 6 M)

However, the need to maintain 'cabinet responsibility' was particularly difficult for those participants personally affected by the changes:

"I had three people in my team all lived in Portsmouth who were absolutely beside themselves and thought they may be going to Basingstoke. They got Portsmouth so they're happy and I'm really pleased for them, I think it's great and it will be good for them. Though I've got to go to Basingstoke, don't want to go to Basingstoke, I feel really demotivated, and disappointed and everything in the process at the moment, but I can't, who do I go and speak to? … Well I get on with it, again it's another case of me having to remember to keep my tongue and not express too much to the wrong people about what I feel about it." (POMM 6M 1 F)

Reiterating the 'intermediary' role of the police officer middle manager, subordinates described their role as *"a lonely job"*. Subordinates recognised the challenges placed on their respective police officer middle manager in their role as 'change agent' and in particular felt that they were unsupported by the senior management:

"I've seen the leadership, the job itself, they shy away from taking charge, especially in times like change at the moment. It's horrendous, the troops on the frontline, they're the ones out doing the job, it's changing so much, they are getting demoralised, but it's the managers that should be looking after them and trying to direct them and trying to find the positives as well as negatives … But it's up to a manager then to step forward and basically, not smooth it over, basically sort it out, or try and direct it and answer their queries and not be afraid to stand up and take flack, especially in this current climate." (SUB 6M 6 M1)

Line managers also identified the increased demands on the police officer middle managers and expressed the need to support them however recognised the requirement for them to strike the right balance:

"It's a big hill to get over is that, sort of Inspectors and Sergeants having that sort of cabinet responsibility, knowing where the Force is going and what the goals are and where we're heading, and you might not always agree with it but in order to get the job done, sometimes you have to." (LM 6M 4)

Where the police officer middle managers had begun to drive change and support staff at 6 months post the Programme, at 12 months they were clearly managing the impact of those changes both on their teams and on themselves. The amalgamation of teams, bigger geographical areas of responsibility, and supervising staff across different sites limited participants' ability to manage individuals as effectively as they had previously:

"The bigger team though, I don't know what everyone's doing all the time now and I don't see it as micro managing what I was doing before, it was just knowing what they were doing. "Ah, there's somebody at a job" and I heard it come in and I thought "right, okay that's a big fight, probably got witnesses" and I'll give them a quick call, "do you need any more people there for statements" and stuff like that. "Oh, cheers Sarge, yeah can I have this and this". Now people come in and they're writing up jobs and they come and say "oh they've given me a handover" and I'm like "what's this job? I don't know what this is". I don't know what everyone's doing now 'cos I've got 22 people on at once and they're all over the city or outside the city, I've got no idea what they're all doing." (POMM 12M 3 M)

Sharing supervisory duties presented the police officer middle managers with particular leadership issues:

"My first challenge is actually having another manager with me and that's something people don't really realise, but that's quite difficult because we all have a certain way of working and I ask my team to work my way, so there

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was a few things which we had to compromise on … But it was quite challenging because also what the staff could do sometimes as well, if they know you're not the only line manager and not on the same wavelength, what they will do, they will ask for something and if you say no, they will go and get a yes from someone else." (POMM 12M 2 M)

Frustration with trying to balance the demands of senior management whilst motivating and supporting individuals was apparent:

"People's workloads, managing those, keeping people on this side of going sick with stress, dealing with constant demands from management … there's a big push on victim satisfaction, customer satisfaction and on classification and CDI. So it's like completely the wrong way round in my opinion, where we are expecting people to carry a workload of 30 cases and yet we want them to update the victims. Of course we should update victims, but we're trying to push customer satisfaction by phoning people and yet we can't investigate their crimes effectively because we're overloading our investigators with work." (POMM 12M 4 M)

Another participant reiterated this issue, underlining their difficult 'intermediary' role:

"Some of them … really good DC's that are "I've got so much work on" that they don't know how to physically get on and deal with all of it and they come and ask, some of them luckily come and ask for help and you've got to say, "right, I am, whatever the damage to the rest of the team, I'm going to have to ring fence that person tomorrow for a day to go and do something". Because then we get bashed anyway, don't we, 'cos our victim contracts aren't updated and you know, there's all this other stuff saying "well, why are there so many live occurrences, why is this happening?" And you think "I'll tell you why if you actually listened" but nobody's … they just bash you with more stuff and that's what it feels like … I think we're getting it from both ends and sort of feel like a right piggy in the middle sometimes. 'Cos when you're in the middle, whilst you do totally sort of feel for your team, you can't

stand there and slag off the management, it's not very … well I wouldn't, it's not very professional." (POMM 12M 1 F)

The amalgamation of a number of the Force's services, including HR, with those of Hampshire County Council and Hampshire Fire and Rescue, and the subsequent introduction of an Integrated Business Centre to manage personnel issues was identified by the police officer middle managers as particularly challenging. Like many of the changes in and additions to administrative tasks, the system had left them feeling overburdened, disempowered and lacking in autonomy. Managing change and the demands of the new organisational structure had also had an impact on the participants themselves. The view that they had *"to do more with less"* had left them *"feeling the strain"*, at times *"struggling"*, and admitting that *"stress is a massive thing."*

Managing organisational change and the introduction of additional administrative tasks were described as the biggest factors hindering the police officer middle managers practicing effective leadership. The speed with which changes were made and the removal of many support functions were considered significant obstacles in their ability to effectively manage their staff:

"We knew it was all coming and there was, prior to the 1st April 2015, it was "right, this is what's going to happen, this is going to happen", 1st April came, bang and everything changed all at once and it was far too much far too quickly. And they've introduced data bases, computer systems to try and assist with the supervisory side of, or administration, HR element of our role because they've got rid of so much backroom staff that it's made our job virtually, well the HR admin, it's just a cluster, that's the only way I can describe it." (POMM 12M 5 M)

The police officer middle managers also felt that much of the burden of change had been placed on them by senior management and to the detriment of their teams:

"I feel like my job now is just to make sure that we get crime classifications done properly rather than making my team feel valued, going and leading my team by example, and being out on the ground and running a proper shift as it were. It's just mainly to make sure that we get crime classifications done properly because it was the default, easy answer by senior management is "oh we'll get the Supervisors to do it"." (POMM 12M 3 M)

At the 12 month stage of the study, without exception, both the subordinate and line manager cohorts identified with the police officer middle managers that managing organisational change and the competing Force priorities was a barrier to them demonstrating effective leadership. Subordinates again identified that the pressure placed on the police officer middle managers by senior management had a direct impact on the team:

"The organisation itself, it's putting so much pressure on from upper to lower management on pretty much everything … that just doesn't give you the ability to manage the team properly. The lack of numbers, the amount of jobs that are coming in, the constant paperwork, you're not really a Sergeant per se anymore, you may be a manager, but you're not a Sergeant." (SUB 12M 3 M1)

Subordinates also identified an emerging dilemma for the police officer middle manager role as 'intermediary'. Subordinates described their middle managers as expected to make difficult staffing decisions to assist the change process that would affect people's lives, but at the same time lacking the autonomy to make decisions on operational matters without interference from other Departments.

The police officer middle managers were however very positive about the factors that enhanced their ability to put effective leadership into practice. In spite of the difficulties experienced managing change, at both the 6 month and 12 month stages of the study particular enhancing factors emerged:

- Learning through experience of the role

"My experience in the role has helped. I'm more confident in making decisions." (POMM 12M 3 M)

"The continual variety of work … so it can only enhance me as a supervisor by dealing with different jobs all the time … lots of different things every day, so that challenges me and I like that." (POMM 12M 1 F)

- Learning through positive and negative vicarious experiences

"Speaking to peers and colleagues … you gather as much information as you can. Some bits and pieces you think "yeah, okay, I'd use that, and no I won't use that". So I think you get your own style but its learning from experience, learning from others." (POMM 6M 6 M)

"I'm very much aware when I've been led by bad leaders or supervisors … actually I'd rather do it differently … actually I don't think that's right … so I get to influence that a little bit more." (POMM 12M 2 M)

- Supportive feedback from team, peers and line manager

"Having the support of your team is definitely a benefit that does make it easier for me to lead them. I've got actings on the team who, on the whole, support or back up the way I lead, so when I'm not there … he knows exactly what I expect. Got a good boss, get on well with the Inspector … I feel more comfortable … I know what his expectations are, he knows what I'm capable of." (POMM 6M 3 M)

"My first-line manager … got a great relationship … so that helps me be an effective leader. I think you've got to lead by example and all the qualities of leadership I see in (my line manager). Feedback from, the snippets of feedback you get from your team … you just pick it up." (POMM 12M 5 M)

The willingness and motivation of the team and achieving positive results were also described as important indicators of their effective leadership:

"Goodwill from my staff … so the way I deal with them engenders goodwill, which then creates a virtual cycle of willingness to do the job." (POMM 6M 4 M)

4.8 Themes Emerging from the Data

Based on the findings, three main themes emerged from the data:

THEME 1 – A skills model for police leadership development

This theme emerged from the data gathered in relation to the Hampshire Constabulary Leadership Charter that emphasised a 'leader-centred' approach to leadership. It was further strengthened by the participants' perceptions of effective leadership that identified ten key intrapersonal characteristics and seven key interpersonal functions as being the key traits and activities important for effective leadership.

THEME 2 – The police officer middle manager as 'intermediary'

This theme emerged from the participants' perceptions of effective leadership and was subsequently strengthened by the data gathered in relation to the police officer middle managers' leadership performance in the workplace. Balancing the needs of the team against the needs of the organisation, the need to maintain 'cabinet responsibility', and their role as 'buffer' or 'go-between' between the team and senior management featured prominently in the data.

THEME 3 – Experiencing and developing leadership self-efficacy

It was evident from the data that the police officer middle managers' personal judgement, or 'self-efficacy', in relation to their leadership capabilities and

perceived leadership performance was enhanced learning through their own experiences, vicariously observing others, through the support and willingness of their teams, and the support and feedback of their peers and line managers. The police officer middle managers' emotional stability was also a significant factor in enhancing or hindering their leadership self-efficacy.

The next chapter will discuss these themes in detail and how the data supports the research questions that guided this study.

5. Discussion

5.1 Introduction

The discussion will seek to answer the five key research questions:

1. What leadership model is perceived to be associated with effective police leadership in Hampshire Constabulary?

2. To what extent does the leadership development Programme deliver the knowledge, understanding and skills associated with the identified leadership model?

3. How is the learning acquired in the classroom, in relation to the knowledge and understanding of effective leadership put into practice in the workplace?

4. What factors impact on workplace learning and development in relation to effective leadership practices?

5. How effective is the leadership development Programme in changing leadership performance in the workplace?

I will analyse the findings collated under the key research objectives in chapter 4, drawing on relevant literature reviewed in chapter 2, and discuss the key themes to emerge from the research:

THEME 1 – A skills model for police leadership development
THEME 2 – The police officer middle manager as 'intermediary'
THEME 3 – Experiencing and developing leadership self-efficacy

5.2 The Hampshire Constabulary Leadership Model

Overwhelmingly the findings support the theory that effective leadership in Hampshire Constabulary can be framed in terms of knowledge, skills and abilities. This is contrary to much of the research on leadership in the police service reviewed for this thesis, which has focused on behavioural styles e.g. Fiedler's Contingency Model (Fiedler (1967) and transformational leadership (e.g. Densten (2003)). Nonetheless, the findings from this study show that there are elements of both situational and transformational leadership practice by the police officer middle managers. The police officer middle managers gave practical examples of leadership in personnel and resource management scenarios almost to the exclusion of examples involving directing individuals and teams at frontline operational incidents. Supporting the evidence from previous studies, e.g. Murphy and Drodge (2004), the findings in this study show that the most effective leaders were those that displayed transformational leadership behaviours. In particular, echoing some of the earliest research in this area (Singer and Jonas (1987)), the effective police officer middle managers were those displaying individualised consideration: providing a supportive climate and considering the needs, abilities and aspirations of their subordinates. Contrary to the research findings of Singer and Jonas and those in a later study by Singer and Singer (1990) in which the authors argued that the organisational structure and rule-oriented nature of police work ensured that leaders did not actively need to provide contingent reinforcement/reward, the findings of this study suggest that there is an element of this component of transactional leadership that is considered an important indicator of effective leadership. However, reward in this study is seen as less of an exchange process between the leader and followers for their effort and much more of an acknowledgement for good work and performance. The examples given by the police officer middle managers also show them practicing situational leadership with evidence of both 'directive (task) behaviours' and 'supportive (relationship) behaviours'. However, where the transformational and situational leadership approaches provide a broad view of leadership in the policing context I argue that they do not satisfy an adequate model of police leadership providing the basis for

leadership development interventions. Instead, I argue the findings of this study support a case for a trait based skills model of leadership for Hampshire Constabulary and the wider police service.

THEME 1 – A skills model for police leadership development

Ten key leader intrapersonal characteristics were identified in the study and were found to be consistent with the trait research in the policing context, including most recently from the synthesis of police leadership literature by Pearson-Goff and Herrington (2013). Rather than purely innate or heritable qualities, the characteristics identified: being a role model, decision making, communication, being approachable, knowledge and experience, integrity, self-confidence, sociability, flexibility and determination "reflect a range of stable individual differences, including personality, temperament, motives, cognitive abilities, skills and expertise" (Zaccaro *et al.* (2004) p. 104). These characteristics persisted as the important traits or attributes of an effective leader throughout the study for all participants and regardless of the situation and activity. Where critics of the trait approach to leadership have cited the failure of the approach to take into account the impact of situations, in fact the findings support Zacarro's assertion that they are "relatively coherent and integrated patterns of personal characteristics … that foster consistent leadership effectiveness across a variety of group and organisational situations" (Zaccaro (2007) p. 7). Furthermore, these attributes can be separated into the two different types: distal and proximal as shown in Table 3. The distal attributes are stable, constant individual characteristics that influence and support people as they apply their leadership knowledge and skills, and are independent of the situation. Conversely, the proximal attributes are components that are positively related to leadership performance and, as they are more specific to certain situations, are skills and abilities that can be learned and/or developed.

Intrapersonal Attributes	
Distal	**Proximal**
Being a role model	Decision making
Communication	Knowledge and experience
Being approachable	Sociability
Integrity	Determination
Self-confidence	
Flexibility	

Table 3: Intrapersonal Attributes

In this study seven key interpersonal functions or activities were identified as important to engage in to be an effective leader:

Achieving individual, team and organisational objectives

Motivating the team

Supporting the welfare of and developing individuals and the team

Removing barriers to individual and team performance

Balancing the needs of the individual and team against the needs of the organisation

'Cabinet responsibility' – support for management decisions even if they do not privately agree with them

Learning from experience

These functions can be considered as the police officer middle managers' operating environment and therefore the situations or contexts that influence their proximal attributes. Indeed, the findings from subordinates and line managers support the fact that the middle managers' ability to deal with these functions or situations were a measure of how effective the middle managers' knowledge and skills and thus their leadership was.

Support for the model also came from the data gathered in relation to the Hampshire Constabulary Leadership Charter. The findings concluded that the Charter was not rooted in any national leadership strategy. The principles of the Charter however were clearly understood by all the participants in terms of the key characteristics and functions identified as important for an effective leader. In particular, participants identified the key characteristics: being a role model, decision making, being approachable and having integrity, and the functions: motivating the team, removing barriers to individual and team performance (through dealing with poor performance and behaviour) and learning from experience. The Charter therefore emphasises a leader-centred model of leadership where the focus is on personality characteristics and capabilities rather than behaviours. Further evidence that the Leadership Charter supports a trait-based skills model is the fact that the Constabulary's Leadership and Professional Development Department was able to map it directly to the Policing Professional Framework (PPF), the national competency framework. The PPF provides national rank profiles for officers based on National Occupational Standards (NOS). The framework includes supplementary skills sets at each rank containing relevant NOS for particular roles. The PPF also includes a set of personal qualities common to each rank and role: public service, professionalism, leadership, decision making, and working with others. The leadership personal quality comprises leading change, leading people and managing performance. Appendix 18 shows the PPF for the rank of Sergeant with the Charter's leadership principles aligned to it.

I propose that the leadership model perceived to be associated with effective police leadership in Hampshire Constabulary is a skills model, mirroring previous models e.g. Mumford *et al.* (2000c), Zaccaro *et al.* (2004). The leader competencies at the centre of the model are decision making, knowledge and experience, sociability and determination. These competencies are directly affected by the leader's individual attributes: being a role model, communication, being approachable, integrity, self-confidence and flexibility, and will be influenced by the situation or context in which the leader is working. Effective leadership performance can therefore be

explained by these competencies, which are in turn affected by the leader's attributes and the situation. Mumford *et al.* (2000c) included environmental influences as a component of their skills model and the findings from this study suggest that such influences, which lie outside the leader's competencies, attributes and experiences, are also a factor in this model. These factors will be discussed in section 5.5. Another strength of this proposed model in the policing context is its breadth. Normally deemed to be a weakness of the skills approach to leadership (Northouse (2013), other competencies can be included that are of particular relevance in policing, for example motivation, critical thinking and conflict resolution. Thus rather than a model which provides a general way of thinking about leadership i.e. transformational, or one which defines how to be successful in a particular situation, i.e. contingency theory, the skills model provides a framework for the design of a leadership development programme from which specific skills can be acquired.

Applying the skills model of leadership to leadership and leadership development in the police service however is not without its limitations. The number of components in the model makes it more general and less precise in explaining leadership performance. Furthermore, the model suggests that the components are related to effective leadership performance but, critically, it does not explain *how* the skills affect performance i.e. the skills model is weak in predictive value (Northouse (2013)). As Reed *et al.* (2004) identified to be the case in military organisations, in applying a skills model to leadership development in the police service, where competency-based systems are already in place, there may also be a "powerful tendency to seek solutions that are definitive, prescriptive, and complete" (p.51). Though the skills model provides a breadth of components, confining leadership development to a prescriptive 'list' may become contrary to what is required and "could become self-perpetuating, not subject to continuous review, and therefore become detached from what is needed in the field" (Reed *et al.* (2004), p.51). Any approach to leadership development in the police service based on the skills model therefore needs to caution against mandating a set of specific attributes and skills required at different levels within the

organisation, and take account of the shifting context of policing and new skills and knowledge that might be required of leaders.

5.3 The Leadership Development Programme

A review of the Leadership and Management Programme (First-Line Manager – Level 1) appears to support my view that leadership in Hampshire Constabulary can be defined by the skills approach. Comprising largely inputs that develop interpersonal and associated technical skills to manage human resource issues, the Programme does not advocate a particular leadership style or model. Transformational and situational leadership theories are discussed in broad terms and are used to illustrate the qualities required to develop people and achieve goals through, for example, consultation and motivation. Adapting one's leadership style to suit the situation and in particular to get the best out of individuals on the team is a key element throughout the Programme.

Use of the Myers-Briggs Team Indicator (MBTI) Questionnaire at the beginning of the 5-day course was considered by the police officer middle managers as one of the main strengths of the Programme. The MBTI is used to characterise the personality of an individual and is used in this case to encourage the police officer middle managers to become aware of their own personality type, and recognise those of the people with whom they work to better understand their own behaviour and the responses they get from others. The transactional emphasis is important and it was evident that the police officer middle managers self-awareness and tolerance of the styles and behaviours of their subordinates increased post the Programme. Use of the MBTI is not without its critics (e.g. Michael (2003)), in particular its lack of interpretation of how identified personality traits translate into how an individual leads or manages, but its constructive use in increasing participants' self-awareness in this leadership development programme was clear. Furthermore, personality has been identified as an important element of the skills model of leadership (e.g. Zaccaro (2007)) and although relatively immutable, inclusion of the MBTI in a police middle management leadership

development programme based on this approach provides leaders with the knowledge "to understand his or her reactions to subordinates' actions, and to see why followers react as they do to certain actions by the leader", thereby allowing the leader to control these actions (Northouse (2013), p.339).

What comes out of the findings with regards to what leadership is, the leadership development programme, and how the police officer middle managers enact leadership is very strongly focused on human resource (HR) management, almost to the exclusion of any other elements of leadership. This will be discussed further in this chapter but as far as the Programme is concerned the interpersonal skills and associated technical or procedural inputs to enable the police officer middle managers to deal with these types of issues, from dealing with grievances to conflict resolution, were considered another major strength. Lending yet further support for a skills approach to leadership and leadership development in the policing context, it was the police officer middle managers' competence in these areas that they perceived demonstrated their effectiveness as leaders. Current senior leadership development programmes in the police service are based on three leadership domains or skills: Executive, Business and Policing. I can find no reference in either national police reports or the academic literature as to what skills are considered appropriate for development at the police middle management level. However, studies have been completed in other organisations that I argue can be generalised to the policing context. In particular, a study of US military personnel found that certain skills were more important at certain points of a leader's career (Mumford *et al.* (2000a)). Of particular relevance to and in support of my findings is that the acquisition of social and technical skills was found to be most important at the middle management level. Similarly, based on research involving a public-sector government organisation Mumford *et al.* (2007) found that interpersonal skill requirements "relating to interacting with and influencing others" (p. 156) and comprising social perceptiveness, coordination, negotiation and persuasion became more important at the middle management level. The National Decision Making Model and supporting

problem solving models, for example the GROW process (Alexander (2010)), are used to good effect in the Programme to assist the police officer middle managers to deal competently with HR issues, providing a positive learning experience.

However, the research by Mumford *et al.* (2007) also supports the police officer middle managers' criticism that the Programme came too late in their leadership development. In considering how leadership skill requirements may vary by organisational level the authors suggested that "promotional criteria should be linked not only to demonstrated proficiency in the current job, but also tied to the demonstration of skills that are needed at the next level" (p.164). Recognising the importance the police officer middle managers placed on dealing effectively with HR issues in their role underlines the need to develop technical, interpersonal and problem-solving skills at the right time in the leadership path. This suggests that the Programme would be better suited to police officers assessed as ready for leader development, for example based on their level of attainment of the distal attributes identified in the findings, but prior to subsequent interventions focusing on the development of and change in particular skills and expertise required for the middle management role such as 'acting up'.

The main weakness of the Programme according to the police officer middle manager participants was the lack of vicarious experience and contextualisation. To emphasise this, those participants who had benefited from the action learning sets following the Programme described having the opportunity to share experiences with peers as a positive learning experience. Vicarious experience is a source of self-efficacy information that, in turn, has been identified to positively affect training performance and subsequent transfer of learning into the workplace (Burke and Hutchins (2007)). The police officer middle managers advocated the inclusion of practitioners sharing real-life experiences, and role models to inspire and motivate highlighting that "observing a model performing successfully positively affects the observer's judgement of his or her own abilities" (Paglis (2010), p.778). Although the police officer middle managers found the

interactive pedagogical training approach useful, they described the need for context and the use of real-life scenarios, case studies and role play, underlining the need to link training content to tasks in the workplace. The Programme Trainers however described a lack of proper training needs analysis and subsequently the training objectives were unlikely to reflect real-life middle management leadership issues. Although the Programme used a generic policing scenario based on the management of a 'virtual' team, it is evident that the police officer middle managers would have benefited from the contextualisation of leadership using a range of practical policing scenarios and active teaching and learning methodologies, thereby engendering 'deep level learning' (e.g. Engestrom (1994)).

5.4 From Classroom to Practice

Consistent identification of the ten intrapersonal characteristics and seven interpersonal functions of an effective leader by the police officer middle managers at all stages pre and post the Programme suggests there is little evidence that the Programme had an impact on the participants' knowledge and understanding of leadership, other than to give them increased confidence and motivation to lead their teams by equipping them with practical tools to deal with HR issues. A number of reasons for this have already been identified including design and delivery of the Programme and timing of it in the participants' leadership development path. Another important factor was found to be the police officer middle managers' previous work experience and previous leadership positions held. In particular it was evident that those participants who had held leadership positions in other organisations and those with significant 'acting' experience within Hampshire Constabulary gained least from the Programme. However it is important to note that although research has shown that experience is a significant predictor of leadership performance; time in service and number of previous positions held are unrelated to leadership performance (Bettin and Kennedy (1990)). Therefore if leadership development programmes are tailored to the individual on the basis of their previous experience, it is the quality of that experience which counts. Where some participants gained more from the

Programme than others might also be simply the fact that the less experienced police officer middle managers had more to learn.

It is however evident from the findings that the most useful parts of the Programme identified by the police officer middle managers fit with the skills model of leadership introduced in section 5.2. The use of the MBTI to enable the participants to identify their own personality type and consequently recognise the differences in individuals was a thread throughout the Programme, and was used to good effect in managing their teams in the workplace. Personality is an individual attribute that appears in skills models (e.g. Mumford *et al.* (2000c)) and has an impact on the development of leadership skills. Northouse (2013), for example, states "in conflict situations, traits such as confidence and adaptability may be beneficial to a leader's performance" (p.53). It was evident from the findings that the police officer middle managers were motivated to use the MBTI to assist in solving the day-to-day issues arising with individuals on their teams. The police officer middle managers also identified the procedural inputs on managing HR issues, for example, attendance as most useful. Gaining the knowledge and problem-solving skills to deal effectively with HR situations also fits with the skills model i.e. the development of proximal attributes increasing the leadership expertise and capabilities of the participants.

Without exception, the police officer middle managers' perception of effective leadership in practice was demonstrated by their knowledge and understanding of the strengths and weaknesses of the individuals on their teams, and being able to adapt their style accordingly. For all, the work environment played a positive part in influencing their leadership practice. Support, feedback and positive performance cues from both subordinates and line managers were particularly valued. Although largely informal and different for each individual, meetings with their line managers afforded the opportunity for mentoring and encouragement. The police officer middle managers valued being able to talk through ideas and problems, and receive timely feedback and reassurance on their performance. Reflecting findings from research (e.g. Lancaster *et al.* (2013), the importance of the line

manager as a role model and key to facilitating transfer of learning from the classroom to the workplace was evident in this study. Providing a supportive work environment motivated the police officer middle managers, developing their self-awareness and confidence.

The study however found that support from subordinates and line managers was the only consistent factor shaping the development of the police officer middle managers post the Programme. In spite of participants' expectations there was no ongoing coordinated leadership development to reinforce learning. The reliance on classroom training and limited opportunity to engage in 'action-learning' back in the workplace is contrary to the literature on leadership development including that in the policing context (e.g. Schafer (2009), Kodz and Campbell (2010)). The police officer middle managers and their line managers expressed their reliance on self-development activities. Those participants seeking promotion to the next rank in particular sought activities to prepare them for leadership, supporting research that indicates that "those individuals with a stronger career growth orientation (are) more skilled at performing self-development activities" (Day *et al.* (2014), p.68). However, reliance on self-development was generally viewed as a negative where research, albeit limited, suggests self-development of leadership skills, supported by an organisational strategy, is an effective form of leadership development (Reichard and Johnson (2011)). Indeed, the police officer middle managers valued the opportunity to partake in relevant development and training for their role supporting the benefit of leadership development activities tailored to the individual.

5.5 Factors Impacting on Leadership Practice

By far the biggest factor impacting on the police officer middle managers' leadership practice was HR. This figured significantly throughout the study and was compounded by the organisational restructuring from the 6 month stage of the research when their role as 'change agent' placed more responsibility on them to manage the impact on their teams, whilst continuing to meet management expectations. Where Butterfield *et al.* (2005) found the

impact of government reform had changed the role of Sergeant from one of team member with supervisory responsibilities to that of practitioner-manager, it is evident from this study that the role of Sergeant has evolved in the interim and is firmly placed in middle management. The police officer middle managers clearly saw the need to meet organisational objectives but rather than planning, organising, coordinating and controlling tasks, the emphasis was on supporting and motivating individuals and the team to achieve these. Their increasing role as a 'personnel leader' was found to be most important and interestingly supports similar findings in police organisations in other parts of the world (e.g. Dean and Gottschalk (2013)).

THEME 2 – The police officer middle manager as 'intermediary'

However, echoing the findings of Butterfield *et al.* (2005), the shift towards these predominantly managerial responsibilities does not appear to have led to greater autonomy for Sergeants. Instead, a significant finding of this study was the new 'intermediary' role of the police Sergeant. Mirroring evidence from studies on middle management in the Education sector (e.g. Spillane *et al.* (2002), Bennett *et al.* (2003)), the police officer middle managers in Hampshire Constabulary are finding themselves increasingly part of the middle layer of the organisational leadership structure. Subordinates recognised and welcomed this intermediary role, describing their respective police officer middle manager as a form of protection against the demands of senior management: someone who could translate the often difficult and challenging directions and policies into something more palatable and workable. Line managers also recognised this new requirement of the police officer middle managers but identified more readily with the role conflict that this placed upon them. The police officer middle managers did not readily identify themselves as being in an intermediary position, instead they described an increasing need to maintain 'cabinet responsibility', clearly evidencing the conflict they felt in their role. Bennett *et al.* (2003) described similar conflict for school middle leaders in that "there is often ambiguity about the role and position of middle leaders, sometimes experienced as being caught in the 'crossfire' between the expectations of different levels in

the school hierarchy" (p.7). This study shows how the role profile of the police Sergeant has changed from what Dean and Gottschalk (2013) describe as 'resource allocator': assigning human, financial and information resources to the different types of police work and administrative tasks, to that of 'personnel leader'. This issue is exacerbated by the fact that it is unlikely that the police officer middle manager participants entered the police and sought promotion to Sergeant with this type of position in mind. Indeed, their personal conflict suggests that they would rather be "spending more time doing what one is already competent at, rather than engaging in the more important role of 'personnel leader' to develop staffs' abilities and potential towards organisational goals" (Dean and Gottschalk (2013), p.313). Furthermore, though the Leadership and Management Programme (First-Line Manager – Level 1) covered aspects of HR management, it is questionable as to how much the Programme prepared the police officer middle managers for this dramatic change in role expectation and how much the organisation itself supports them beyond their immediate line managers. Interestingly, one of the line managers underlined the lack of senior management support and recognition for the intermediary role stating *"I think people would be more comfortable with the idea of … corporate/cabinet responsibility if they felt there was an opportunity for them to have dialogue back in the upwards direction and effectively"* (LM/6M/4)).

5.6 Leadership Performance in the Workplace

The police officer middle managers' described the main effect of the leadership development programme as giving them the confidence to deal with personnel and HR issues, through the contextualisation of the MBTI exercise and increased knowledge and understanding of HR processes. Their confidence to lead their teams continued to increase in the workplace and their perceived leadership performance was positively enhanced learning through their own experiences, vicariously observing others, through the support and willingness of their teams, and the support and feedback of their peers and line managers. The relationship between a leader's self-confidence and successful leadership is frequently reported in the leadership

literature (e.g. Bass and Bass (2008)). Furthermore, it is now widely accepted that "the trait of self-confidence impacts leadership performance through the mediating mechanism of leadership self-efficacy, a person's confidence in his or her ability to successfully lead" (McCormick (2001), p.24).

THEME 3 – Experiencing and developing leadership self-efficacy

The factors described above are evidence of the information used by the police officer middle managers in forming self-efficacy judgements, in this case in relation to their leadership capability. Significantly, they mirror three of the four sources of information identified by Bandura (Bandura (1997)) that assist in the development of self-efficacy: personal mastery experiences, vicarious experience, and verbal persuasion. These sources of self-efficacy influence a person's belief regarding their behaviour in the following ways: personal mastery experiences of past successes and failures; vicarious experience through observing and comparing one's own abilities with others; and verbal persuasion by receiving positive performance expectations and encouragement from others. The fourth source is a person's physiological state, which can influence their self-efficacy in situations of high anxiety or stress and which will be discussed later.

The concept of leadership self-efficacy (LSE): "one's self-perceived capability to successfully lead a group" (McCormick *et al.* (2002), p.43) is a fairly recent addition to the field of leadership research. Interest in the concept of leadership self-efficacy followed research in the 1980s and 1990s that found that there was a consistent relationship between self-efficacy and work-related performance (e.g. Stajkovic and Luthans (1998)). Extending the self-efficacy concept to the study of leadership McCormick *et al.* (2002), for example, proposed that high LSE contributed to leadership performance and, moreover, identified that the antecedents of LSE were based on self-efficacy theory. In their study, the authors also found that previous leadership experiences correlated highly with LSE, and that LSE predicted leadership behaviour and distinguished leaders from non-leaders. A number of further

studies have concluded that there is a positive connection between LSE and particular measures of performance, for example in driving change initiatives (Paglis and Green (2002)). Research has also found that LSE impacts on collective performance (e.g. Hoyt *et al.* (2003)) in that "confident leaders may communicate their positive performance expectations to their followers, increasing followers' collective efficacy and ultimately their performance" (Paglis (2010) p.775). Pertinent to the findings of this study is the research evidence that supports a connection between stable individual difference characteristics and LSE (e.g. Ng *et al.* (2008)). For example, Villanueva and Sanchez (2007) found a positive relationship between LSE and emotional intelligence.

In spite of the research findings, LSE appears to receive little attention in the wider leadership literature (Hannah *et al.* (2008), Paglis (2010)). This is particularly interesting as its positive relationship with leadership performance has resulted in LSE attracting a lot of interest in its potential for use in leadership development programmes and in particular through the use of Bandura's well-tested techniques for building self-efficacy: mastery experiences, vicarious learning, verbal persuasion and psychological, physiological and emotional state (e.g. Versland (2015)). Machida and Schaubroek (2011), for example, state "judgements concerning leaders' abilities, as conveyed by others such as mentors and developers and interpreted by leaders as they experience successes and failures, are essential to the development of highly effective leaders" (p.468). Significantly, research on LSE in the policing sector, albeit extremely limited, supports previous findings: Ramchunder and Martins (2014), for example, found a positive relationship between emotional intelligence and self-efficacy and leadership effectiveness and proposed that emotional intelligence and self-efficacy be used for developmental purposes. Similarly, in a recent study involving nurse managers, Van Dyk *et al.* (2016) concluded that there was a need for development programmes to enhance self-confidence and self-efficacy.

The fact that the police officer middle manager participants in this study identified that their leadership performance was positively related to Bandura's sources of self-efficacy information is further support for the use of these techniques in a leadership development programme. Though other authors have evidenced that leadership development programmes can positively affect LSE (e.g. Mason *et al.* (2014), Holmberg *et al.* (2016)) there is limited evidence from this study that the Leadership and Management Programme (First-Line Manager – Level 1) contributed to the police officer middle managers LSE, other than to offer them the opportunity to share experiences with their peers. It was in fact their experiences, observations and feedback in the workplace that contributed most significantly to their increased LSE. That the participants get their LSE largely through their daily work questions the need for the Programme at all in this study. Certainly to have an effect and add to the development of participants' LSE, this suggests any classroom-based training needs to include methodology based on the sources of self-efficacy. Further support for the consideration of LSE in police leadership development programmes was the fact that participants in the study identified emotional stability as one of the police officer middle managers' weaknesses. Recognised as Bandura's fourth source of self-efficacy information, a person's psychological, physiological or emotional state can be perceived as either positive or negative, manifesting in energised performance in some and in stress or lack of confidence in others. The study found no evidence that the participants' emotional stability was managed by anyone other than the participant themselves suggesting that more could be done to support them: "an organisation that offers assistance to employees with stress management, and takes steps to remove any stigma surrounding it, may help some otherwise highly capable leaders avoid the efficacy-debilitating effects of workplace stress and anxiety" (Paglis (2010), p.778).

6. Conclusion

The aim of this research was to evaluate a Hampshire Constabulary leadership development programme for middle managers, namely police Sergeants, and to study the broader aspects of leadership development at this middle management level, focusing on the knowledge, understanding and skills required to apply leadership in the contemporary policing context and as defined by the Hampshire Constabulary Leadership Charter.

Three main themes emerged from the study that are new to the research in the field of police leadership: a skills model for police leadership development; the police officer middle manager as 'intermediary'; and the role of leadership self-efficacy. The qualities and functions of an effective leader were described by all participants in the study in terms of ten key intrapersonal traits or attributes and seven key interpersonal activities. Though there was evidence of the broader theories of leadership: transformational and situational, the findings overwhelmingly evidenced a trait-based skills model of leadership that was clearly supported by the terms of the Constabulary's Leadership Charter. For the first time, the skills model of leadership provides the framework for a simple, structured model of leadership development for the police service that can be tailored to people at different levels within the organisation. However, caution must be exercised in basing a leadership development programme on the attributes and skills of the 'ideal' leader without due regard to the more subjective perspectives and impact of the shifting context of both local and national policing.

Successive government reform has changed the role of the police Sergeant over the years and this study found that the backdrop of austerity and the rapidly shifting context of policing has elevated the police Sergeant to a middle management role. Dealing predominantly with HR issues and managing the impact of organisational change has positioned the Sergeant as an 'intermediary' between frontline practitioners and senior management. Like equivalent middle managers in other public sector organisations, their

formal position as leader gives them authority to define and interpret senior management decisions and policy for their team but they have to gain the cooperation of their team as well (e.g. Spillane *et al.* (2002)). Where subordinates welcomed the role, line managers recognised the dilemma facing the police officer middle managers who found negotiating the two worlds far from easy.

The police officer middle manager participants identified that their leadership performance was positively related to learning through their own experiences, vicariously observing others, through the support and willingness of their teams, and the support and feedback of their peers and line managers. This study suggests that there is a positive relationship between these factors and the police officer middle managers' perceived leadership self-efficacy. In addition, the participants described situations where they struggled with managing their stress and regulating their emotions, which clearly had a negative impact on their self-efficacy. The evidence from this study highlights the importance of experiencing and developing leadership self-efficacy within a programme of police leadership development.

This study has a number of implications for theory in leadership and leadership development. Traditionally, leadership has been viewed as the process demonstrated in the interpersonal interactions between leaders and followers. Analysis of the academic texts on leadership reviewed for this thesis confirm that current models of and approaches to leadership continue to be too focussed on leadership styles and the relationship of leaders and followers to each other. As Mumford *et al.* (2000c) state "there is no disputing that leadership is an interactional social phenomenon involving the exercise of influence and others' reactions to these influence attempts" (p.26). However, where trait approaches to leadership is an established tradition in leadership research, I claim that my findings support the argument that more attention needs to be paid to the combination and meaningful conceptual integration of characteristics and attributes that are likely to predict effective leadership, rather than "additive or independent contributions of several

single traits " (Zaccaro (2007) p.6). In addition, where leadership is often studied outside the 'real world' organisational context, the findings of this study imply that effective leadership is strongly influenced by career experiences, the support of teams and line management, and knowledge of the job, of the organisation, and perhaps most importantly of the people.

The findings from this study also imply that there is no understating the effect of an individual leader's emotions on their ability to demonstrate effective leadership, and that not enough attention is given to the influence of emotions in traditional leadership theories. The relationship between emotional intelligence and leadership continues to be the subject of debate (e.g. McCleskey (2014)), however this study demonstrates that "emotions play an important role in daily life; people may vary in their ability to perceive, understand, use, and manage emotions; and these variances may affect individual adaptation in a variety of different contexts, including the workplace" (McCleskey (2014) p.77). Moreover, this study highlights the need for organisations, not just the police service, to pay attention to the social and emotional aspects of leadership. In chapter 2, I made the assertion that a leader must have high emotional intelligence: an ability to recognise and manage their own and others' emotions in the context of the given situation. The findings of the study appear to support this assertion and furthermore that emotional stability is a key factor in leadership self-efficacy and positive leadership performance. There is therefore a strong case for organisations, and in particular the police service, to attend to individual leaders' emotional health and well-being, providing formal and informal stress management, support and coping mechanisms alongside leadership development and in the workplace.

This study also highlights an implication for leadership development theory, one which is supported by recent research in this field (Day *et al.* (2014)): that leadership development should focus less on leadership theory and more on understanding and enhancing developmental processes. The findings add to the view that leadership is a process and not a position and that research in this field should "focus on conceptualising process theories

related to the development of leaders and leadership over time" (Day *et al.* (2014), p.79). This study raises the question of whether traditional forms of leadership development in organisations like the police, for example course-based, actually work. The findings suggest that a long-term, blended approach to leadership development should be taken, in particular creating a supportive environment in order to produce effective leaders at middle management level. In the review of the literature for this thesis, a number of academic studies, including those in the policing context, advocate the use of such a 'learning system' (e.g. Leskiw and Singh (2007), Schafer (2010a)) and the findings of this study appear to support this.

This study presents a number of practical implications for leadership and leadership development in the police service. In particular, the distal attributes identified are stable, constant individual characteristics that are likely to be immune to most typical leadership development interventions. Therefore they provide a means of initial assessment of individuals for their suitability for leadership through the use of objective, structured psychological tests or exercises, i.e. an individual's readiness for leadership development can be assessed on the basis of their level of attainment of such attributes. Psychological tests are very popular with organisations and their use as a valid selection instrument is supported by a large body of research evidence and statistical data (Gregory (2013)). Personality tests for example, in which there are no right or wrong answers, are already popular in the police service but are used mainly in national selection processes for senior leadership, for example in the Senior Police National Assessment Centre (PNAC). The identification of particular distal intrapersonal attributes of the police officer middle managers in this study demonstrates their value in leadership selection at this level in the organisation. Based on the findings of this study, those attributes signifying readiness to assume a leadership position might include communication, self-confidence, integrity and flexibility.

The skills model also provides a framework for tailored leadership development interventions, for example training programmes using case

studies and other instructional techniques to encourage participants to consider different solutions to a problem situation. The popularity of the action learning sets and the police officer middle managers' suggestions for the use of case studies, real life scenarios and role play strongly supports this. In addition, leadership development in the police service should include practical interventions for increasing leadership self-efficacy through the use of, for example, influential role models and formal mentoring through which individual leaders "can learn successful leadership behaviours and strategies and gain confidence that they can perform in a similar manner in the future" (Paglis (2010), p.778).

There are also implications for police leadership and leadership development policy at national level. There is a need to recognise the change in role of the police Sergeant and the demands placed on them by the shifting context of policing. This study has evidenced their position in middle management and how, more than ever, they are key to the moral and welfare of staff, and influential in the maintenance of standards and staff attitudes to change. National policy should reflect this key change in role and invest in leadership and leadership development at this crucial middle management level if continued police reform is to benefit the organisation. This study has also demonstrated a link between the role of police Sergeant and other public-sector middle management roles and it is equally important that national policy in these similar context organisations focuses on development for middle leaders (e.g. Bennett *et al.* (2003)). Middle leaders play a critical role in public sector organisations including the police, having to ensure a continued high quality of service to the public with ever diminishing resources. Institutionalising an effective leadership development culture at middle management level will ensure leadership effectiveness at this level.

In 2017 Hampshire Constabulary, in common with other UK police forces, introduced the National Police Promotions Framework (NPPF) for promotion from constable to sergeant, and from sergeant to inspector. The NPPF comprises four steps:

Step 1 – Competence in current rank.

Step 2 – Examination of law and procedure.

Step 3 – Local selection process and matching to vacancies.

Step 4 – Temporary promotion (12 months) and work based assessment against role specific National Occupational Standards (NOS).

Notably, however, there is no associated mandate on leadership development and steps 3 and 4 are managed by the individual forces. This does however provide an ideal longitudinal framework for a detailed model of effective leadership development for police officers at this middle management level. Using steps 3 and 4 of the NPPF and taking into account the themes arising from this study, namely the skills model of leadership and developing and experiencing leadership self-efficacy, I now propose such a model.

Figure 6 shows step 3 or the preparatory phase. Selection of candidates is currently only based on an application and interview evidencing the five Policing Professional Framework (PPF) behaviours: decision making, leadership, professionalism, public service and working with others. I propose the inclusion of a psychometric test to assess for readiness for a leadership role as discussed above. Once selected, candidates are allocated a formal mentor and undertake a 360-degree feedback exercise to identify their strengths and weaknesses, which assists in creating a personal development plan (PDP). Candidates form a syndicate with their peers enabling them to come together for regular action learning sets (ALS) for peer support and vicarious learning. The candidate is also subject to regular line management (LM) review and feedback, and assessment of their PDP. At intervals within the preparatory phase, candidates attend training workshops. The first set prepares them to deal effectively with HR processes, the second set focus on technical skills including, for example, supervision of force computer systems. The HR workshops comprise real-life scenarios and role play exercises to maximise learning transfer. Formal mentoring and individually tailored stress management support continues through this phase. At the end of the preparatory phase, candidates

complete their line management review and are again subject to 360-degree feedback to measure their development against their PDP, and in order to set specific goals for the next phase. Candidates are then temporarily promoted.

6 – 12 Months Preparatory

SELECTION

Assessment of PPF
Role Behaviours:
Decision Making
Leadership
Professionalism
Public Service
Working with others

Psychometric Test

LM review

PDP

Peer ALS

LM review

PDP

Peer ALS

LM review

PDP

360 deg feedback

Allocation of formal mentor

360 deg feedback

HR Workshops

Grievance procedure
Unsatisfactory/Poor performance
Attendance management

Real life scenarios including role play

Technical Workshops

RMS Supervision
Crime Data Integrity
'Exercising Your Discretion'

Including role specific where required.

Tailored ongoing mentoring and stress management support

Figure 6: Police Middle Management Leadership Development – Preparatory Phase

Figure 7 shows step 4 or the work based assessment phase. This phase currently sees candidates working in the role gaining evidence of competence in relevant National Occupational Standards (NOS). To maximise their development, I propose continued review and feedback from their line manager and support from their peer group syndicate. In this phase, the candidates complete leadership skills workshops identified in this study as relevant to their middle management role e.g. decision making. In particular, the second set of these workshops introduces the candidate to leadership skills recognised as new to this level e.g. the intermediary role. To boost their leadership self-efficacy, candidates continue to have a formal

programme of mentoring and tailored stress management support. On successful completion of this phase, candidates are promoted to the substantive role with ongoing line management and peer support, and individual consideration for ongoing formal mentoring and stress management support.

12 Months Work Based Assessment

TEMP PROM		Peer ALS		Peer ALS	
Work based training and learning challenges	LM review PDP		LM review PDP		LM review PDP 360 deg feedback Promotion

Leadership Skills Workshops

Decision making (use of NDM)
Negotiation
Motivation
Conflict resolution

Real life scenarios and role model experiences

Leadership Skills Workshops

Intermediary Role
Change management
Partnership Working

Real life scenarios and role model experiences

Tailored ongoing mentoring and stress management support

Figure 7: Police Middle Management Leadership Development – Work Based Assessment Phase

It is important to note the limitations of this study. I chose a case-study approach as my research strategy, employing a number of participant sample groups representing key stakeholders in the leadership development of police officer middle managers in Hampshire Constabulary. However, although wide ranging, this was a convenience sample and generalisability of the findings is unclear. Similar research would be strengthened by extrapolating the study to include a cross-sectional sample of UK police

officer middle managers to compare and contrast the findings and gain a national police perspective.

The findings reported are also not without limitations, for example, the characteristics of effective leadership are based on a consensus of perceptions rather than an evaluation of how these might translate into specific outcomes. Indeed, the study makes the presumption that participants had a basic understanding of effective leadership practices which may not, in fact, be valid across all the participants. The data captures experiences and perceptions and, in terms of theory development, future research might include development of quantitative tools to measure the attributes, knowledge and skills and their ability to predict leader performance across different situations in the policing context.

The skills model of leadership and its proposed use in leadership development in the police, as described above, also have limitations. The tendency for participants to support an approach to leadership based on skills may be because this is what they know and are used to from, for example, the Constabulary's use of competency-based assessment in selection and promotion processes and from the terms of the Leadership Charter, rather than what is actually most effective. Indeed, my review of the literature concludes there is strong evidence for supporting the application of transformational leadership in the policing context. Where the skills model is a leader-centred approach to leadership, placing learned skills at the heart of effective leadership performance, the increasing requirement of the police officer middle managers to deal with HR issues and manage people through organisational change might actually necessitate the development of their transformational leadership skills making them "change agents who are good role models, who can create and articulate a clear vision for an organisation, who empower followers to meet higher standards, who act in ways that make others want to trust then, and give meaning to organisational life" (Northouse (2013), p.214). Where some have been critical of the application of such broader theories of leadership to the police service (e.g. Neyroud (2011), Cockcroft (2014)), the increasing complexity of the policing environment and the changing roles within it might require leaders who not only possess the

skills and abilities to lead but who are also able to inspire followers to embrace and achieve organisational goals. Indeed, police officer middle managers might benefit from a transformational leadership approach in their new intermediary role, an avenue for further study.

Despite the limitations of the study, the findings offer new insights into police leadership and police leadership development and three theoretical contributions are made to the field: a skills model for police leadership development; the role and significance of the police officer middle manager as 'intermediary'; and the importance of practical interventions to boost leadership self-efficacy. A skills model of leadership provides an alternative to the leadership theories previously applied to the police service. For the first time, this study puts forward a leader-centred model, emphasising the competencies of leaders and placing learned skills at the centre of effective leadership performance. The skills model also provides an original and practical structure for leadership development in the police service. Furthermore, rather than disregard current police leadership theories, the skills model may serve to extend or compliment selected theories, for example transformational leadership. The role of the middle manager as 'intermediary' in other public sector organisations has been recognised and studied for a number of years. This is the first time that the role has been identified in the police service and the study details the impact on the police Sergeant of their elevation to the middle management role, and the dilemmas associated with the shift in their responsibilities towards mainly HR and change management. Finally, this study contributes significantly to the more recent field of research into leadership self-efficacy. The police service provides the context for and evidence that middle management leadership performance is positively related to experience, observation and feedback in the workplace, and is mitigated by the individual's emotional stability.

Appendix A: The Hampshire Leadership Charter

OUR LEADERSHIP PRINCIPLES

Effective leadership is the key to us providing an excellent service

> Good leadership is vital at all levels if we are to provide an excellent standard of service to the public, delivering on our vision and priorities. It defines our ability to successfully take command of incidents where people's lives are at risk, and it impacts on every aspect of our work.

Keeping our communities safe requires everyone at Hampshire Constabulary to be a leader in some respect, whether they line manage people or not. Designed in consultation with a number of staff and officers, these principles are a guide as to how we should go about our business.

THE PEOPLE WHO WORK FOR HAMPSHIRE CONSTABULARY WILL:

- ✓ be visible, proactive and provide clear direction
- ✓ make timely, effective and consistent decisions
- ✓ tackle poor performance and behaviour, sooner rather than later
- ✓ be fair and inclusive, promoting equality and our values
- ✓ be approachable and authentic
- ✓ be prepared to learn, welcoming new ideas and taking responsibility for their actions even when things go wrong

BY DOING THIS WE WILL CREATE AN ORGANISATION WHERE PEOPLE:

- ✓ know what is expected of them
- ✓ are empowered to make decisions
- ✓ work in an environment that is positive and stimulating
- ✓ are recognised for the good work that they do
- ✓ have the opportunity to develop and flourish
- ✓ engage in challenging discussions within their teams, including in 1-2-1s

As chief constable I will lead by example, acting in line with these principles and putting these leadership qualities at the heart of any process for reviewing progress and promotion within the force.
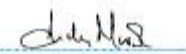
Andy Marsh, Chief Constable

I will lead by example, acting in line with these principles and working to create an organisation that is recognised for the quality of its leadership.

Signature

Appendix B: Hampshire Constabulary Leadership Development Activities

Instrument	What does this tool do?	Target Group
MBTI 45 mins to complete questionnaire and up to 120 mins individual or up to 3.5 hour team feedback	It is a multiple-choice personality questionnaire that looks at how a person perceives the world and how they prefer to interact with others. The MBTI (Myers-Briggs Type Indicator) framework helps people improve their working and personal relationships in a positive and constructive way.	Managers as part of leadership development programmes and courses, team development, individuals as part of talent management support or by referral from managers or PSD.
16PF Time – c. 60 mins to complete questionnaire, 120 mins feedback	The 16PF personality questionnaire measures a set of 16 traits that describe and predict a person's behaviour in a variety of contexts. It aims to provide comprehensive information about an individual's whole personality, revealing potential, confirming capacity to sustain performance in a larger role and helping identify development needs.	Individuals as part of talent management support or by referral from managers or PSD. Can also be used for job/promotion selection in conjunction with other processes.
Aptitude Tests Time – c. 30 mins per test, 15 mins feedback	Aptitude tests are designed to measure your work-related cognitive capacity. The concept behind these tests is that each test question has only one correct answer, and everyone can correctly solve all the test questions. The only difference between people is in how quickly they can correctly complete the test (i.e. answer all the test questions). That's why these tests are always timed. The time is defined in such a way that only 1% to 5% of the population can correctly solve all the test questions within the allowed time frame. The most common are verbal reasoning, numerical reasoning, spatial reasoning, managerial judgement and mechanical reasoning.	Individuals applying for initial or specialist posts, both police officers and staff at all grades
OPQ 32 Time – c. 45 mins to complete questionnaire, up to 45 mins feedback	The OPQ32 personality based questionnaire assesses 32 work-related dimensions within the domains: Relationships with People – Influence, Sociability, Empathy Thinking Style – Analysis, Creativity, Change, Structure Feelings & Emotions – Emotion, Dynamism	Individuals as part of talent management support or by referral from managers or PSD. Can also be used for job/promotion selection in conjunction with other processes.

360 Degree Tool Time – c. 45 mins to complete questionnaire, 120 mins feedback	Obtains feedback, via a questionnaire, from superiors, peers and subordinates to obtain a full picture of an individual	Individuals who line manage staff and wish to identify and develop their own self-awareness based on their strengths and potential areas of improvement. Managers must be in a position of line management for a minimum of 6 months with their team.
Belbin Team Roles Time – c. 20 mins to complete questionnaire, 30 mins individual feedback, 60 mins for a team.	Belbin Team Roles are used to identify people's behavioural strengths and weaknesses in the workplace. This information can be used to: Build productive working relationships, Select and develop high-performing teams, Raise self-awareness and personal effectiveness, Build mutual trust and understanding, Aid recruitment processes.	Managers as part of leadership development programme, individuals or groups who work in a team. Individuals as part of talent management support or by referral from managers or PSD.
Thomas Kilmann Instrument Time – c. 20 mins to complete questionnaire, 60 mins feedback	This instrument is used at an individual level to assist with conflict situations. The TKI helps people identify their preferred approach to conflict, and looks at how to use different styles to cope with various types of conflict situations. It prompts people to think about their reaction to interpersonal friction, and suggests strategies to positively affect the outcome of conflict, both in terms of relationships and results.	This is available on a case by case basis with referrals from PSD/Occ Health and Line Managers. Please note this is a development tool and not a substitute or alternative for HR interventions.
Motivation Time – c. 30-45 mins to complete questionnaire, 60 mins feedback for an individual or team	A motivation questionnaire can be used to understand which situations may increase or decrease your motivation and can assist in securing your job satisfaction. These types of questionnaires try to rate how conditions found in the workplace could affect your motivation (i.e. whether you would work harder or not in a given situation). As with the personality questionnaire, there are no right or wrong answers.	Managers as part of leadership development programmes, team development, individuals as part of talent management support or by referral from managers, Occupational Health or PSD. Please note this is a developmental tool and not a substitute or alternative for manager interventions.

Appendix C: Hampshire Constabulary Development and Selection Instruments

HAMPSHIRE CONSTABULARY LEADERSHIP DEVELOPMENT ACTIVITIES

Roles	Leadership/Management				Operational	Mentoring
Sgt/DS/Sc4-SO2 Managers	Leadership/Management Level 1	Leading & Managing People	Supporting & Managing People	Critical Incident Command	Sgts/DS Operational Courses	Operational Workshops (e.g. Mental Health)
Insp/DI/PO1-3	Leadership/Management Level 2				Insp/DI Operational Courses	
Chief Inspector/ DCI/HMG G-F	College of Policing (CoP) Foundation for Senior Leaders	Leadership Workshops (e.g. Values & Ethics and Motivation)		Major and Critical Incident Review Workshops	Action Learning Sets	
Supt/HMG E-D	CoP Senior Leadership Programme				South East Region Mentoring Programme	
Ch Supt/HMG B-C	CoP Leading Powerful Partnerships					Mentoring Network with MPS, RN, HCC, HFRS & BA
ACC/HMG A	CoP Strategic Command Course					
DCC/CC Levels	CoP Executive Development Programme					

Other courses/activities:

- Report Writing,
- Selection Interviewing
- Mentoring
- Project Management
- PDRs
- Managing Change
- Leading New Teams
- Effective Presentations
- Fairness & Equality
- Team development
- coaching and mentoring
- psychometric tools use

HAMPSHIRE CONSTABULARY

Appendix D: Mapping of the Leadership Charter against the Policing Professional Framework (PPF) for Rank of Sergeant.

Leadership Principles	Level 2 – Sergeant
	Professionalism:
Be visible, proactive and provide clear direction.	Acts on own initiative to address issues, showing a strong work ethic and demonstrating extra effort when required.
Tackle poor performance and behaviour, sooner rather than later.	Upholds professional standards, acting as a role model to others and challenging unprofessional conduct or discriminatory behaviour.
Be fair and inclusive, promoting equality and our values.	Acts with integrity, in line with the values and ethical standards of the Police Service. Demonstrates courage and resilience in dealing with difficult and potentially volatile situations.
Be prepared to learn, welcoming new ideas and taking responsibility for their actions even when things go wrong.	Asks for and acts on feedback, learning from experience and continuing to develop own professional skills and knowledge. Takes ownership for resolving problems and situations.
Have the opportunity to develop and flourish.	Develops own professional skills and knowledge.
	Decision Making:
Make timely effective and consistent decisions.	Considers a range of possible options before making clear, timely, justifiable decisions. Reviews decisions in the light of new information and changing circumstances. Balances risks, costs and benefits, thinking about

Leadership Principles	Level 2 – Sergeant
	the wider impact of decisions. Exercises discretion and applies professional judgement, ensuring actions and decisions are proportionate.
	Working with Others:
Be fair and inclusive, promoting equality and our values.	Deals with people as individuals and addresses their specific needs and concerns. Treats people with respect and dignity, dealing with them fairly and without prejudice regardless of their background or circumstances. Shows empathy and compassion. Keeps people informed of progress and manages their expectations.
Be approachable and authentic.	Is approachable, developing positive working relationships and a good team spirit.
Engage in challenging discussions within their teams, including in 1-2-1s	Listens carefully and asks questions to clarify understanding, expressing own views positively and constructively. Persuades people by stressing the benefits of a particular approach.
	Managing Performance:
Be visible, proactive and provide clear direction.	Sets clear objectives and outcomes.
Know what is expected of them.	
Tackle poor performance and behaviour, sooner rather than later.	Monitors delivery to ensure tasks have been completed to the right standard, and tackles poor performance effectively.
Are empowered to make decisions.	Knows the strengths of team members, delegating appropriately and balancing workloads across the team.

Leadership Principles	Level 2 – Sergeant
	Leading People:
Tackle poor performance and behaviour, sooner rather than later.	Gives honest and constructive feedback to help people understand their strengths and weaknesses.
Have the opportunity to develop and flourish	Coaches and guides team members, identifying and addressing areas for development.
Know what is expected of them.	Inspires team members to meet challenging goals, providing direction and stating expectations clearly.
Be visible, proactive and provide clear direction.	
Work in an environment that is positive and stimulating. Are recognised for the good work that they do.	Recognises when people are becoming demotivated and provides encouragement and support. Acknowledges the achievements of individuals and teams by recognising and rewarding good work.
	Leading Change:
Be prepared to learn, welcoming new ideas and taking responsibility for their actions even when things go wrong.	Constantly looks for ways to improve service delivery and value for money, making suggestions for change and encouraging others to contribute ideas. Takes an innovative and creative approach to solving problems.
	Public Service:
Be fair and inclusive, promoting equality and our values.	Understands the impact and benefits of policing for different communities, and identifies the best way to deliver services to them.

Appendix E: Analysis of the Individual and Demographic Characteristics of the Two Cohorts of Police Officer Middle Managers

Gender

Figure 1 shows the gender of the 20 officers in the total population of the two cohorts.

Of the total population of 20 officers, 18 (90%) were male and 2 (10%) were female. Of the 6 officers in the final cohort sample, 5 (83.3%) were male and 1 (16.6%) was female.
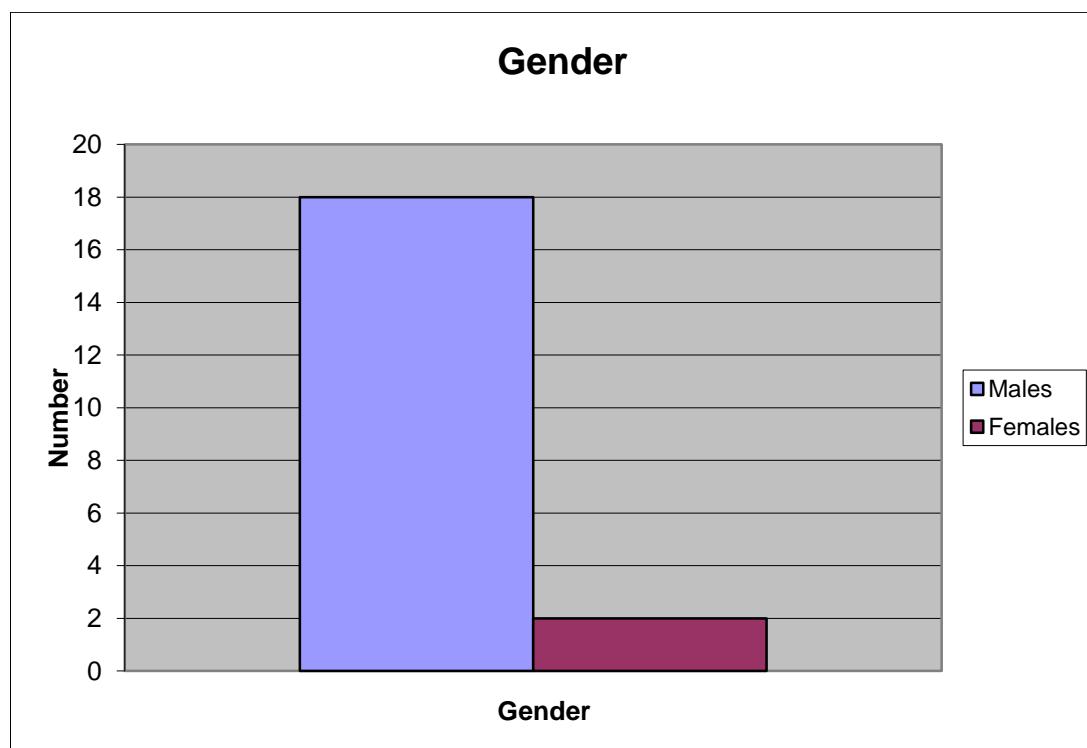
Figure 1

Ethnicity

Figure 2 shows the ethnicity of the 20 officers in the total population of the two cohorts. This information is recorded at the beginning of the training and refers to officers' self-defined ethnicity.
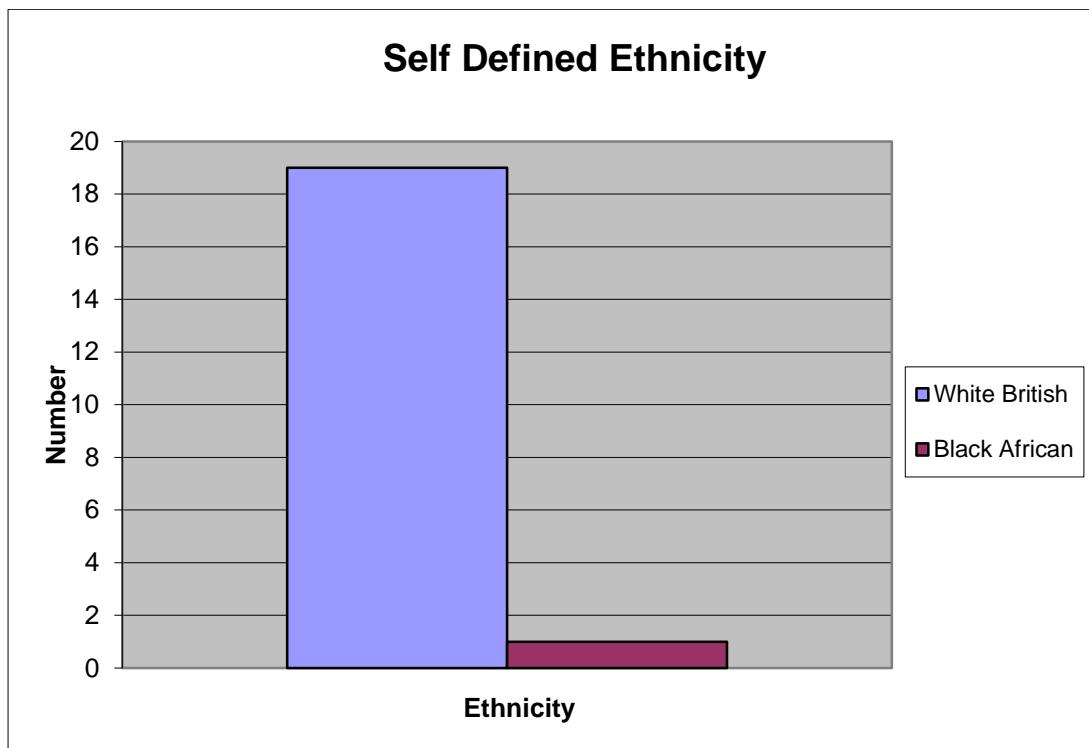
Figure 2

Of the total population of 20 officers, the majority 19 (95%) described themselves as White British, and 1 (5%) described themselves as Black African.

Of the 6 officers in the final cohort sample, the majority 5 (83.3%) described themselves as White British, and 1 (16.6%) described themselves as Black African.

Department

Figure 3 shows the Departments in which the 20 officers in the total population worked at the time of the training. 7 (35%) worked in the Criminal Investigation

Department (CID), 9 (45%) worked in a Targeted Patrol Team (TPT), 2 (10%) worked in a Joint Operations Unit (JOU), and 2 (10%) worked in a Safer Neighbourhood Team (SNT).

Police Department
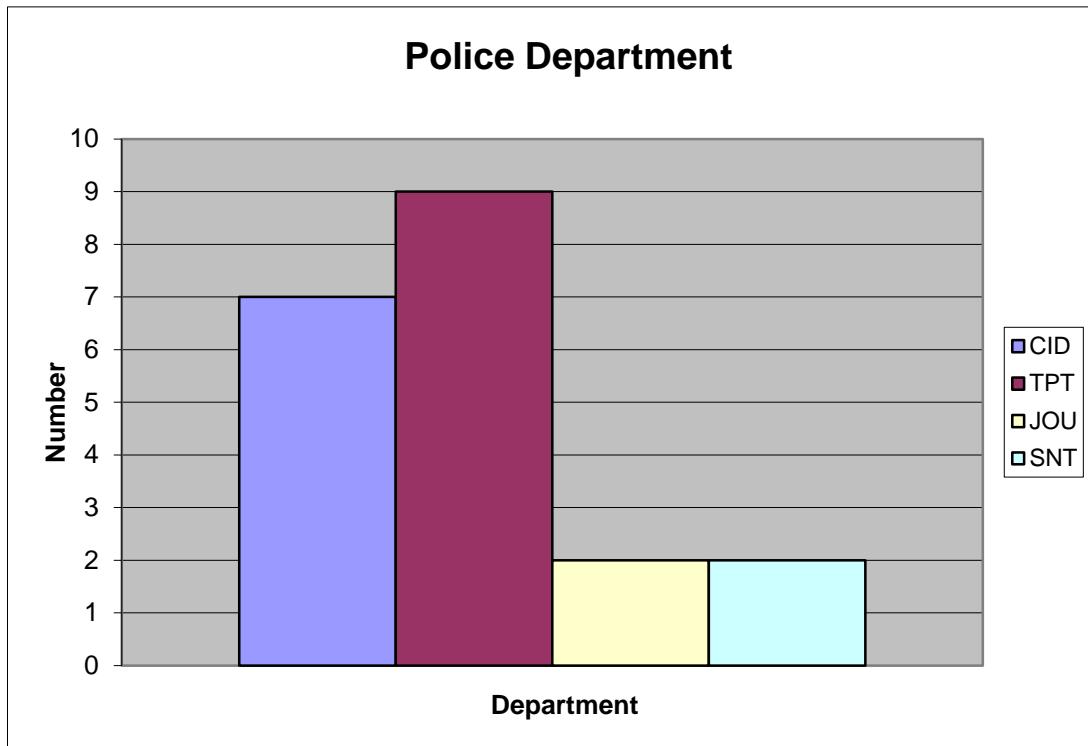
Figure 3

Of the 6 officers in the final cohort sample 3 (50%) work in CID and 3 (50%) work in TPT.

In maximising the diversity of officers in the final cohort sample, the number of variables meant that it was difficult to obtain a representative spread across the entire individual and demographic characteristics. Representation in terms of length of service of the officer, for example, was abandoned in order to give greater diversity in terms of Sergeant status and area of the Force in which the officer worked.

Middle Manager Role

Figure 4 shows the Sergeant status of the 20 officers in the total population. 5 (25%) were newly promoted Sergeants, 6 (30%) were Temporary Sergeants and 9 (45%) were working in Acting Sergeant positions.
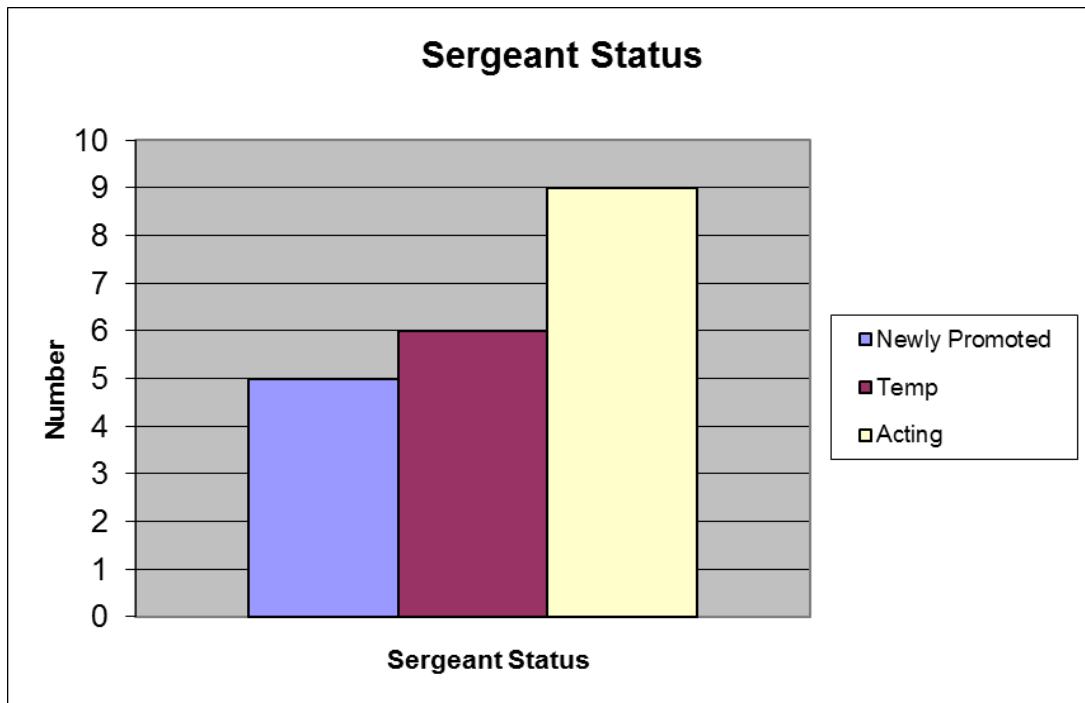
Figure 4

Of the 6 officers in the final cohort sample 3 (50%) were newly promoted Sergeants, 2 (33.3%) were Temporary Sergeants, and 1 (6.25%) was an Acting Sergeant.

Posting

Figure 5 shows the area of the Force worked by the 20 officers in the total population. 7 (35%) worked in the Eastern area, 4 (20%) worked in the Northern area, 7 (35%) in the worked in the Western area, and 2 (10%) worked in a Department covering the whole Force area – Central.

Of the 6 officers in the final cohort sample, 3 (50%) worked in the Eastern area, 2 (33.3%) worked in the Northern area, and 1 (16.6%) worked in the Western area.

Force Area
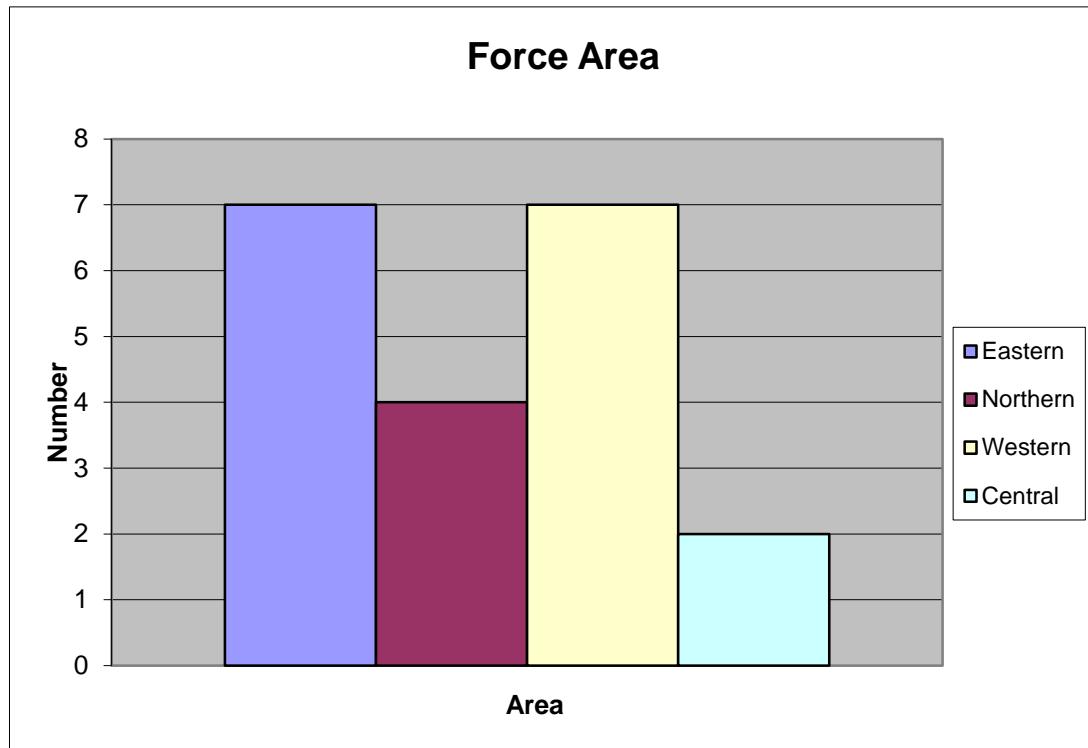
Figure 5

Appendix F: Key to Data Collection

KEY QUESTIONS → OBJECTIVES ↓	What leadership model is perceived to be associated with effective police leadership in Hampshire Constabulary?	To what extent does the leadership development programme deliver the knowledge, understanding and skills associated with the identified leadership model?	How is the learning acquired in the classroom in relation to the knowledge and understanding of effective leadership put into practice in the workplace?	What factors impact on workplace learning and development in relation to effective leadership practices?	How effective is the leadership development programme in changing leadership performance in the workplace?
DOCUMENTS	√	√			
1. Explore understanding of the term 'effective leadership'.	All participants		All participants		All participants
2. Identify the leadership style(s)/model promoted by the Hampshire Constabulary Leadership Charter.	All participants	All participants			
3. Examine the content and context of the leadership development programme.	All participants	All participants			

KEY QUESTIONS →	What leadership model is perceived to be associated with effective police leadership in Hampshire Constabulary?	To what extent does the leadership development programme deliver the knowledge, understanding and skills associated with the identified leadership model?	How is the learning acquired in the classroom in relation to the knowledge and understanding of effective leadership put into practice in the workplace?	What factors impact on workplace learning and development in relation to effective leadership practices?	How effective is the leadership development programme in changing leadership performance in the workplace?
4. Identify the most and least useful aspects of the training programme.		Police Officer Middle Managers	Police Officer Middle Managers		Police Officer Middle Managers
5. Identify assessment methods used in the training of leadership both in the classroom and in operational practice.			Police Officer Middle Managers Programme Trainers Leadership and Professional Development Manager	Police Officer Middle Managers Programme Trainers Leadership and Professional Development Manager	
6. Explore how officers' knowledge and understanding changes as a result of the leadership development programme.			Police Officer Middle Managers Line Managers		

KEY QUESTIONS →	What leadership model is perceived to be associated with effective police leadership in Hampshire Constabulary?	To what extent does the leadership development programme deliver the knowledge, understanding and skills associated with the identified leadership model?	How is the learning acquired in the classroom in relation to the knowledge and understanding of effective leadership put into practice in the workplace?	What factors impact on workplace learning and development in relation to effective leadership practices?	How effective is the leadership development programme in changing leadership performance in the workplace?
7. Investigate how learning in relation to knowledge and understanding of effective leadership is transferred and put into practice.			Police Officer Middle Managers Line Managers		
8. Investigate the impact of the leadership development programme on leadership performance in the workplace.					Police Officer Middle Managers Subordinates Line Managers
9. Identify key leadership issues for an operational police officer, including factors which enhance and hinder practice.				All participants	

Appendix G: Fieldwork Timetable

Jan-14	Feb-14	Mar-14	Apr-14	May-14	Jun-14	Jul-14	Aug-14	Sep-14	Oct-14	Nov-14	Dec-14	Jan-15	Feb-15	Mar-15	Apr-15	May-15	Jun-15	Jul-15	Aug-15
■ (orange)	**Course 1/2014 – 03/02/14 – 07/02/14** ■ (green)			■ (annual leave)				■ (blue)	■ (blue)						■ (magenta)	■ (magenta)			
	Subordinates								■ (yellow)	■ (yellow)						■ (yellow)			
	Line Managers								■ (brown)	■ (brown)						■ (brown)	■ (brown)	■ (brown)	
	■ (orange)	**Course 2/2014 – 10/03/13 – 14/03/14** ■ (green)						■ (blue)	■ (blue)						■ (magenta)	■ (magenta)			
		Subordinates							■ (yellow)	■ (yellow)						■ (yellow)			
		Line Managers							■ (brown)	■ (brown)						■ (brown)	■ (brown)	■ (brown)	■ (brown)
		Trainers										■ (red)				■ (red)			
		L & PD Manager													■ (purple)				
		Chief Constable													■ (grey)				

Key

- ■ (orange) Middle Manager Pre Course Interview
- ■ (green) Middle Manager Post Course Interview
- ■ (blue) Middle Manager 6 Month Interview
- ■ (magenta) Middle Manager 12 Month Interview
- ■ (red) Trainers Interviews
- ■ (yellow) Subordinates Focus Group Interviews
- ■ (brown) Line Manager Interviews
- ■ (purple) L & PD Manager Interview
- ■ (grey) Chief Constable Interview
- ■ (light cyan) Annual leave

Appendix H: Interview Schedules

INTERVIEW SCHEDULE 1: Police Officer Middle Managers Pre Leadership and Management Programme

- Perception of effective leadership
    - o What do you understand by the term 'effective leadership'?

- Qualities of an effective leader
    - In your opinion, what are the qualities of an effective leader?

- Knowledge and understanding of the Hampshire Constabulary Leadership Charter
    - What is your knowledge and understanding of the Hampshire Constabulary Leadership Charter?

- Previous leadership development experiences
    - o Describe any leadership development you have experienced
        - *Internal/external courses etc*

- Perceptions of their own leadership strengths and weaknesses
    - o What do you consider to be your leadership strengths?
    - o What do you consider to be your leadership weaknesses?

- Identification of key leadership issues in operational role
    - o In your opinion what are the key leadership issues in your current operational role?

- Expectations of the leadership programme
    - o What are your expectations of the leadership programme?

INTERVIEW SCHEDULE 2: Police Officer Middle Managers Post Leadership and Management Programme

- Perception of effective leadership
  - What do you understand by the term 'effective leadership'?

- Qualities of an effective leader
  - In your opinion, what are the qualities of an effective leader?

- The Leadership and Management Programme
  - Describe the Leadership and Management Programme.
    - *Content*
    - *Activities*
    - *Teaching and learning methodologies used*
    - *Trainer knowledge*

- Identification of leadership styles/models
  - What, if any, leadership styles or models were introduced in the programme?

- Most/least useful parts of the programme
  - In your opinion, what was the most useful part of the programme?
  - In your opinion, what was the least useful part of the programme?

- Relevance of programme to role
  - In your opinion, how relevant was the programme to your role?

- Relevance of programme to Leadership Charter
  - In your opinion, how relevant was the programme to the Leadership Charter?

- How programme has changed knowledge and understanding of leadership

- o Has the programme changed your knowledge and understanding of leadership?
    - *If yes, how?*
    - *If not, why not?*

- Motivation/confidence to put knowledge and understanding into practice
    - o How motivated/confident do you feel putting into practice in the workplace the knowledge and understanding you have gained from the programme?
        - *Degree to which they feel able to perform and believe new skills will help them to perform more effectively*

- Perceptions of how application of knowledge and understanding will improve performance
    - o How do you perceive that application of the knowledge and understanding gained on the programme will improve your performance as a leader?
        - *Do they believe that applying skills and knowledge learned in training will improve their performance?*

- Changes to the programme
    - o In your opinion, what, if any, changes could be made to the Leadership and Management Programme?

- Expectations of additional/on-going leadership development
    - o What additional or on-going leadership development do you expect to receive in your role?

- Expectations of assessment/support/feedback
    - o How do you expect your leadership skills to be assessed in your operational role?
    - o What support or feedback do you expect to receive in relation to your leadership skills in your operational role?

INTERVIEW SCHEDULE 3: Police Officer Middle Managers 6 and 12 Months Post Leadership and Management Programme

- Perception of effective leadership
  - What do you understand by the term 'effective leadership'?

- Qualities of an effective leader
  - In your opinion, what are the qualities of an effective leader?

- How knowledge and understanding of leadership has been demonstrated in the workplace
  - How have you demonstrated your knowledge and understanding of leadership in your operational work?
    - *Ask for examples*

- Most/least useful parts of the Leadership and Management Programme in relation to operational practice
  - In relation to your operational work, what was the most useful part of the Leadership and Management Programme?
  - In relation to your operational work, what was the least useful part of the Leadership and Management Programme?

- Changes to programme
  - In your opinion, what, if any, changes could be made to the Leadership and Management Programme?

- Additional/on-going leadership development opportunities
  - What additional and/or on-going leadership development opportunities have you experienced in the workplace?
    - *Does the organisation support them and provide opportunities to apply their new skills?*
    - *Does the organisation provide an environment in which they feel good about performing well?*

- Current leadership challenges
  - Describe your current leadership challenges.

- Factors enhancing/hindering effective leadership practice/learning transfer
  - Describe any factors that have enhanced your ability to put effective leadership into practice.
  - Describe any factors that have hindered your ability to put effective leadership into practice.

- Perceptions of their own leadership strengths and weaknesses
  - What do you consider to be your leadership strengths?
  - What do you consider to be your leadership weaknesses?

- Support from subordinates/line manager
  - What support have you received in your leadership role from your subordinates/line manager?
    - *Opportunities to apply new knowledge and skills*
    - *Goals based on training*
    - *Feedback*

- Negative indicators from subordinates/line managers about leadership performance
  - What negative responses/opposition have you received from your subordinates/line manager when applying new leadership skills?

- Positive outcomes as a result of applying new skills
  - Describe any positive outcomes of applying your new leadership skills in the workplace.
    - *Examples of incidents*

    - Negative outcomes as a result of not applying new skills

- o Describe any negative outcomes of not applying your new leadership skills in the workplace.
    - ▪ *Examples of incidents*

- Assessment/feedback
    - o What assessment/feedback have you received in your operational role about your leadership performance?
        - ▪ *Formal/informal*

- How Hampshire Constabulary/the police service might most effectively develop police leaders
    - o In your opinion, how might Hampshire Constabulary/the police service most effectively develop police middle managers/leaders?

APPENDIX H

INTERVIEW SCHEDULE 4: Programme Trainers

- Perception of effective leadership
    - What do you understand by the term 'effective leadership'?

- Qualities of an effective leader
    - In your opinion, what are the qualities of an effective leader?

- Knowledge and understanding of the Hampshire Constabulary Leadership Charter
    - What is your knowledge and understanding of the Hampshire Constabulary Leadership Charter?

- Design and development of the Leadership and Management Programme
    - How was the Leadership and Management Programme designed and developed?
        - *Aims and objectives*
        - *Police Performance Framework*
        - *National strategy*
        - *Consultation*

- How lesson content is linked to operational leadership/Leadership Charter
    - How is the lesson content linked to operational leadership/the Leadership Charter?

- Teaching/learning methodologies
    - Describe the teaching and learning methodologies used to deliver the programme content.

- Most/least effective methodologies for engaging programme delegates
    - In your opinion, what is the most effective methodology for engaging the programme delegates?

- In your opinion, what is the least effective methodology for engaging the programme delegates?

- Assessment
  - How are delegates' knowledge and understanding of leadership assessed in the classroom?

- Perceptions of leadership strengths/weaknesses of delegates
  - In your opinion, what are delegates' leadership strengths?
  - In your opinion, what are delegates' leadership weaknesses?

- Changes to programme
  - In your opinion, what, if any, changes could be made to the programme?

- Opportunities to share experiences and feedback with delegates, their teams and line managers
  - What opportunity do you have to share experiences and get feedback from the delegates, their teams and line managers?

- Additional/on-going leadership development opportunities
  - What additional and/or on-going leadership development opportunities exist for delegates post programme?

- How Hampshire Constabulary/the police service might most effectively develop police leaders
  - In your opinion, how might Hampshire Constabulary/the police service most effectively develop police middle managers/leaders?

APPENDIX H

INTERVIEW SCHEDULE 5: Line Managers 6 and 12 Months Post Leadership and Management Programme

- Perception of effective leadership
    - What do you understand by the term 'effective leadership'?

- Qualities of an effective leader
    - In your opinion, what are the qualities of an effective leader?

- Knowledge and understanding of the Hampshire Constabulary Leadership Charter
    - What is your knowledge and understanding of the Hampshire Constabulary Leadership Charter?

- Knowledge of the Leadership and Management Programme
    - What knowledge do you have of the Leadership and Management Programme?

- Personal experiences of leadership development
    - Describe you own experiences of leadership development.

- Perceptions of leadership strengths/weaknesses of subordinate
    - In your opinion, what are your subordinate's leadership strengths?
    - In your opinion, what are your subordinate's leadership weaknesses?

- Expectations of leadership performance of subordinate

- Positive/negative leadership behaviours of subordinate
    - In your opinion, what are your subordinate's positive leadership behaviours?
    - In your opinion, what are your subordinate's negative leadership behaviours?

- Identification of changes in leadership performance/behaviour of subordinate
    - Describe how your subordinate's leadership performance has changed since they attended the Leadership and Management Programme/the last focus group/interview.

- Perceptions of barriers to effective leadership practices of subordinate
    - What do you perceive to be the barriers to your subordinate practicing effective leadership?

- How Hampshire Constabulary/the police service might most effectively develop police leaders
    - In your opinion, how might Hampshire Constabulary/the police service most effectively develop police middle managers/leaders?

INTERVIEW SCHEDULE 6: Leadership and Professional Development Manager/Chief Constable

- Perception of effective leadership
    - What do you understand by the term 'effective leadership'?

- Qualities of an effective leader
    - In your opinion, what are the qualities of an effective leader?

- The Hampshire Constabulary Leadership Charter:
    - How have you contributed to its development and implementation?
    - What leadership style/model does it describe/promote?
    - How does the Charter link to Force and national strategy?

- Perceptions of an effective leadership development programme for middle managers in the police service.
    - Describe how you perceive an effective leadership development programme for middle managers in the police service.

- Approaches to the development and assessment of leadership skills
- The Leadership and Management Programme:
    - Knowledge and involvement
    - Strengths and weaknesses
    - Assessment/evaluation
    - Return on investment

- Indicators of a leader's efficacy
    - In your opinion, what indicators serve as best evidence to assess a leader's efficacy?

- Barriers to the expansion of effective leadership practice in the police service

- o In your opinion, what barriers prevent the expansion of effective leadership practices in the police service?

- How Hampshire Constabulary/the police service might most effectively develop police leaders
  - o In your opinion, how might Hampshire Constabulary/the police service most effectively develop police middle managers/leaders?

Appendix I: Focus Group Interview Schedules

INTERVIEW SCHEDULE 7: Subordinates 6 and 12 Months Post Leadership and Management Programme

- Perception of effective leadership
    - What do you understand by the term 'effective leadership'?

- Qualities of an effective leader
    - In your opinion, what are the qualities of an effective leader?

- Knowledge and understanding of the Hampshire Constabulary Leadership Charter
    - What is your knowledge and understanding of the Hampshire Constabulary Leadership Charter?

- Knowledge of the Leadership and Management Programme
    - What knowledge do you have of the Leadership and Management Programme?

- Perceptions of leadership strengths/weaknesses of supervisor
    - In your opinion, what are your supervisor's leadership strengths?
    - In your opinion, what are your supervisor's leadership weaknesses?

- Expectations of leadership performance of supervisor

- Positive/negative leadership behaviours of supervisor
    - In your opinion, what are your supervisor's positive leadership behaviours?
    - In your opinion, what are your supervisor's negative leadership behaviours?

- Identification of changes in leadership performance/behaviour of supervisor
    - Describe how your supervisor's leadership performance has changed since they attended the Leadership and Management Programme/the last focus group/interview.

- Perceptions of barriers to effective leadership practices of supervisor
    - What do you perceive to be the barriers to your supervisor practicing effective leadership?

- How Hampshire Constabulary/the police service might most effectively develop police leaders
    - In your opinion, how might Hampshire Constabulary/the police service most effectively develop police middle managers/leaders?

Appendix J: Example of E-Mail Correspondence with Participants

From:	Clapham, Sarah
Sent:	28 January 2014 13:26
To:	
Subject:	Research Help

Attachments:	Participant Info Sheet Police Officer Middle Managers v1 301013.doc

Hi _____ ,

Thank you for agreeing to be part of my research and I hope you are still happy to be so. I've attached an information sheet that gives you more detail and hopefully won't put you off!

Participant Info
Sheet Police ...

I can explain further on Sunday when we meet. I will aim to be at _____ as arranged (1000 hours) and am happy to fit in around you if you're busy. If for any reason you have to cancel please let me know asap on the below mobile.

Thank you.
Sarah

Sarah Clapham
Inspector 442, Central Public Protection Department,
Hampshire Constabulary Support HQ, Hamble Lane, Southampton, SO31 4TS
Internal: 711448 External: 023 80 745133
Mob: 07990 551814

Appendix K: Key to Data Collection Methods and Analysis

Research Participant Profile	Data Collection Points	Data Collection Method	Number of Times Data Collected	Key to Group	Key to Individual Participants
Police Officer Middle Managers	Police Officer Middle Managers – pre Leadership and Development Programme	One-to-one semi-structured interview	Once per individual participant	POMM Pre	1 F 2 M 3 M 4 M 5 M 6 M
	Police Officer Middle Managers – post Leadership and Development Programme	One-to-one semi-structured interview	Once per individual participant	POMM Post	1 F 2 M 3 M 4 M 5 M 6 M
	Police Officer Middle Managers – 6 months after Leadership and Development Programme	One-to-one semi-structured interview	Once per individual participant	POMM 6M	1 F 2 M 3 M 4 M 5 M 6 M
	Police Officer Middle Managers – 12 months	One-to-one semi-structured interview	Once per individual participant	POMM 12M	1 F 2 M 3 M

	after Leadership and Development Programme				4 M 5 M 6 M
Programme Trainers	Programme Trainers	One-to-one semi-structured interview	Once per individual participant	PT	PT 1 PT 2
Subordinates	Subordinates – 6 months after Leadership and Development Programme	Focus group	Once per group	SUB 6M	1 M1/M2/M3/F 2 M1/M2/F 3 M1/M2/M3/F 4 M1/M2/M3/F 5 M1/M2/M3/F 6 M1/M2/F
	Subordinates – 12 months after Leadership and Development Programme	Focus group	Once per group	SUB 12M	1 M1/M2/F 2 M1/M2/F1/F2 3 M1/M2/M3/M4 4 M1/M2/F 5 M/F1/F2 6 M1/M2/M3
Line Managers	Line Managers – 6 months after Leadership and Development Programme	One-to-one semi-structured interview	Once per individual participant	LM 6M	1 2 3 4 5 6
	Line Managers – 12 months after Leadership	One-to-one semi-structured interview	Once per individual participant	LM 12M	1 2 3

					4 5 6
Leadership and Professional Development Manager	Leadership and Professional Development Manager	One-to-one semi-structured interview	Once per individual participant	L & PD M	L & PD M
Chief Constable	Chief Constable	One-to-one semi-structured interview	Once per individual participant	CC	CC

Appendix L: Example Extract from Data Analysis Trigger Notes

INTERVIEW ANALYSIS 1: Police Officer Middle Managers Pre Leadership and Management Programme

- Perception of effective leadership
    - What do you understand by the term 'effective leadership'?

Being a role model, someone to look up to, sets a good example, leads by example, leads from the front, "hands on", builds a good team	Sets a good example Role model Learns through experience
"Trial and error"	
Respect, trust	Has respect and trust of team
Decision maker	Decision maker
Someone you can admit your mistakes to/explain your reasoning to and they will understand	
Non-judgemental	Non-judgemental
Confident, visible	
Able to tell people what to do, directive Communication (POMM Pre 6)	Communication skills
Know where you stand	
Gets the job done, achieves results, positive results, meets objectives, doing a good job (POMM Pre 4, POMM Pre 6, POMM Pre 3)	Achieves individual, team and organisational objectives
Engages the team, motivates, incentivises, uses peoples strengths, develop weaknesses, own experience to develop others (POMM Pre 4, POMM Pre 5)	Motivates, encourages Supports team and individuals

Considers team and organisation (POMM Pre 3, POMM Pre 5)	Recognises, removes barriers to individual and team performance - "the little things"
Looks after individuals, "the little things" (POMM Pre 4, POMM Pre 1)	
Recognises barriers to individual/team performance, "minor but important barriers"(POMM Pre 4)	Flexible, allows flexibility
Team before self (POMM Pre 1)	Approachable
Flexible, allows team flexibility	
Approachable, individuals happy to raise issues, able to talk to them about anything	Knowledge, experience
Knowledgeable, application, 'doer'	Recognition and reward
Recognise and reward good work (POMM Pre 5)	Developmental
Developmental – recognition and encouragement	Reflective
Reflective	Multi-tasking
Multi-tasking	"One of the biggest surprises for me"
Differences	
Like "inheriting 10 new children"	Difficulties of Acting/Temp role
Significance of role models for BME officer, stereotypical leaders (POMM Pre 2)	
Temp role – right balance	

Appendix M: SSEGM Application Form and Risk Assessment

SSEGM ETHICS SUB-COMMITTEE APPLICATION FORM

This version updated May 2013

Please note:
- *You must not begin your study until ethical approval has been obtained.*
- *You must complete a risk assessment form prior to commencing your study.*
- *It is your responsibility to follow the University of Southampton's Ethics Policy and any relevant academic or professional guidelines in the conduct of your study. This includes providing appropriate information sheets and consent forms, and ensuring confidentiality in the storage and use of data.*
- *It is also your responsibility to provide <u>full and accurate information</u> in completing this form.*

1. Name(s):   Sarah Louise Clapham

2. Current Position: Full time Police Inspector with Hampshire Constabulary

3. Contact Details:
   Division/School Education
   Email   claphamsl@yahoo.co.uk
   Phone 01489 798230

4. Is your study being conducted as part of an education qualification?
         Yes   X   No   ☐

5. If Yes, please give the name of your supervisor
         Professor Daniel Muijs

6. Title of your project:
         Police Middle Management Leadership: A Case of Arrested Development?

7. i) What are the start and completion/hand-in dates of your study?
         October 2012 – October 2018

   ii) When are you planning to start and finish the fieldwork part of your study?
         February 2014 – August 2015

8.   Describe the rationale, study aims and the relevant research questions of your study

To date there has been no robust evaluative study in the UK policing context of the effectiveness of particular leadership styles of, or leadership development programmes for middle managers. Research in the policing context has largely been perception based with no evidence of the subsequent performance of individuals and their changed behaviour, or of actual impact in the workplace. The aim of this research is to provide such an evaluation and to ascertain the effectiveness of a Hampshire Constabulary leadership development programme in delivering the knowledge and understanding required by officers in middle management roles to evidence competence in leadership, and equip them with the skills to 'lead' as defined by the Hampshire Constabulary Leadership Charter.
I will pursue the aim through nine key research objectives:

- Explore understanding of the term 'effective leadership'.

- Identify the leadership style(s)/model promoted by the Hampshire Constabulary Leadership Charter.
- Examine the content and context of the leadership development programme.
- Identify the most and least useful aspects of the training programme.
- Identify assessment methods used in the training of leadership both in the classroom and in operational practice.
- Explore how officers' knowledge and understanding changes as a result of the leadership development programme.
- Investigate how learning in relation to knowledge and understanding of effective leadership is transferred and put into practice.
- Investigate the impact of the leadership development programme on leadership performance in the workplace.
- Identify key leadership issues for an operational police officer.

Analysis of the data will attempt to answer the following five key questions:

1. What leadership model is perceived to be associated with effective police leadership in Hampshire Constabulary?
2. To what extent does the leadership development programme deliver the knowledge, understanding and skills associated with the identified leadership model?
3. How is the learning acquired in the classroom in relation to the knowledge and understanding of effective leadership put into practice in the workplace?
4. What factors impact on workplace learning and development in relation to effective leadership practices?
5. How effective is the leadership development programme in changing leadership performance in the workplace?

9.   Describe the design of your study

The research will comprise:

1. A review of lesson plans and associated training material relating to the leadership development course.
2. A review of key policies and strategic reports in relation to police leadership, e.g. the Hampshire Constabulary Leadership Charter.
3. Interviews with up to 8 police officers attending the Leadership and Management Programme.
4. Interviews with up to 2 members of Training staff.
5. Focus groups with subordinates of the officers at 3. (Up to 3 police officers in any one group).
6. Interviews with up to 8 line managers of the officers at 3.
7. An interview with the Hampshire Constabulary Leadership and Professional Development Manager.
8. An interview with the Hampshire Constabulary Chief Constable.

10.   Who are the research participants?

1. A cohort of police officers on the Leadership and Management Programme (First-Line Manager - Level 1).
2. Leadership and Management Programme Trainers.
3. Subordinates of the police officers at 1.
4. Line managers of the police officers at 1.
5. The Hampshire Constabulary Leadership and Professional Development Manager.
6. The Hampshire Constabulary Chief Constable.
7.

11.   If you are going to analyse secondary data, from where are you obtaining it?

Relevant lesson plans and training materials will be obtained from the computer files of the Hampshire Constabulary Leadership and Professional Development Department with the formal permission of the Leadership and Professional Development Manager.
Relevant online and hard copy material including policy, strategic reports, and professional literature will be obtained from library, public website archives, Hampshire Constabulary intranet pages, and the College of Policing.

12.   If you are collecting primary data, how will you identify and approach the participants to recruit them to your study?
Please attach a copy of the information sheet if you are using one – or if you are not using one please explain why.

1. The Course Cohort – up to 8 police officers attending a Leadership and Management Programme (First-Line Manager – Level 1) course will be identified via the course administrator. I will e-mail each individual and invite them to participate. I will attach an information sheet to the e-mail, and copy the e-mail to the Leadership and Professional Development Manager to ensure he is notified of my intention to interview police officers attending the course.

2. Training Staff – I will contact the Leadership and Professional Development Department and identify the training staff responsible for the design, development and delivery of the Leadership and Management Programme. I will e-mail up to 2 members of staff and invite them to participate. I will attach an information sheet to the e-mail, and copy the e-mail to the Leadership and Professional Development Manager to ensure permission to access and interview the staff.

3. Subordinate Police Officers – I will use the Hampshire Constabulary Computer Aided Resource Management (CARM) system to identify up to 3 police officers from each of the police officers' (at 1. above) respective teams within the organisation. I will e-mail the officers and invite them to participate. I will attach an information sheet to the e-mail, and copy the e-mail to the respective District Chief Inspector to ensure permission to access and interview individuals.

4. Line Managers - I will use the Hampshire Constabulary Computer Aided Resource Management (CARM) system to identify the line managers of the police officers' (at 1. above) within the organisation. I will e-mail the officers and invite them to participate. I will attach an information sheet to the e-mail, and copy the e-mail to the respective District Chief Inspector to ensure permission to access and interview individuals.

5. The Leadership and Professional Development Manager – I will approach the Leadership and Professional Development Manager and verbally invite him to participate. I will follow this up with an e-mail with an information sheet attached.

6. The Chief Constable - I will approach the Chief Constable and verbally invite him to participate. I will follow this up with an e-mail with an information sheet attached.

13.   Will participants be taking part in your study without their knowledge and consent at the time (e.g. covert observation of people)? If yes, please explain why this is necessary.
No

14.   If you answered 'no' to question 13, how will you obtain the consent of participants?
Please attach a copy of the consent form if you are using one – or if you are not using one please explain why.
This research will be carried out with the informed and freely given consent of all participants chosen to be involved in the study. Each participant will be given an information sheet

informing them of the purpose of the research, how the research will be conducted, and the reasons why they are being asked to participate. This sheet will also clearly state any risks involved to the participant and will explain how anonymity and confidentiality will be ensured. The information sheet will provide enough detail for individuals to make an informed decision about whether or not to participate in the study.

Participants will be asked to sign a consent form to demonstrate they have read and understood the information sheet, that they agree to take part, and that they understand that their participation is voluntary and that they may withdraw from the study at any time with no adverse outcomes.

Participants will also be advised that they have the option to read any information/transcripts provided by them and the final write up of the research
.Participant information sheets and consent forms uploaded.

15.   Is there any reason to believe participants may not be able to give full informed consent? If yes, what steps do you propose to take to safeguard their interests?
No

16.   If participants are under the responsibility or care of others (such as parents/carers, teachers or medical staff) what plans do you have to obtain permission to approach the participants to take part in the study?
N/A

17.   Describe what participation in your study will involve for study participants. Please attach copies of any questionnaires and/or interview schedules and/or observation topic list to be used
For all participants involved in the research study I will be flexible about where and when I conduct the interviews and focus groups, fitting in with officers' operational commitments and duty patterns, and police staff work commitments.

Interviews are likely to take between 20 and 30 minutes and will be audio-recorded. Focus group interviews are likely to take between 45 minutes and 1 hour and will also be audio-recorded.

Interview and focus group topic areas uploaded.

18.   How will you make it clear to participants that they may withdraw consent to participate at any point during the research without penalty?
All the participants will be informed by the information sheet, at the relevant interview, and on the consent form that their participation is voluntary and that they may withdraw from the study at any time.

19.   Detail any possible distress, discomfort, inconvenience or other adverse effects the participants may experience, including after the study, and you will deal with this.
No adverse effects are expected from participation in this study.

20.   How will you maintain participant anonymity and confidentiality in collecting, analysing and writing up your data?
I recognise that in order to get the best quality information from my research it requires participants to feel able to disclose their experiences and thoughts freely, without concern about what will happen with the information and how it will be reported.
Those taking part in the study will only be required to provide information to me as the researcher and I alone will handle the data, ensuring the anonymity and privacy of all participants. No reference will be made to locations or any other identifying data in the information used for the final thesis.

To comply with the Data Protection Act 1998, all data collected from my research will be stored securely on a password protected computer, and any identifying features of the information will be removed at the earliest opportunity.

I am not in a position to promise complete anonymity or confidentiality to the participants taking part in the focus groups and will explain that while I will do my best to preserve confidentiality and anonymity, and urge participants to respect each other's confidentiality, full anonymity and confidentiality cannot be guaranteed.

However I will not be anonymising the information from the Leadership and Professional Development Manager or the Chief Constable. They are important participants who are being interviewed because of their strategic knowledge and understanding of leadership and leadership development in the policing context. This will be made clear to them that this is the reason they are being interviewed. During the interview process they can, at any stage, indicate that a remark should be treated as off the record and/or that particular material will not be used. Other than the use of attributed quotes from these interviews in writing up the research, the interview data will only be available to the researcher and stored on a password protected computer.

Any transcriber(s) used will be given clear instructions to ensure the confidentiality of information in the sound recordings. The transcriber(s) will be required not to discuss or otherwise communicate the content of the interviews (or other interactions to be transcribed) with other people. The transcriber(s) will be required to return any sound file, or copy of, to me upon completion of the transcription work, and to destroy any notes sent out with the interview. The transcription will be returned to me in electronic format and the transcriber(s) will be required to destroy his/her copy of the transcription.

In line with Hampshire Constabulary policy, however, I cannot assure confidentiality where:

- I believe there to be a real risk of harm to the participant or another person, or
- The participant discloses information which constitutes a criminal offence or disciplinary matter (copy of the Code of Conduct for Police Officers attached).

In the rare event of any such disclosure, the participant will be informed that the information will be reported to the relevant person/Department prior to it being so.

21.   How will you store your data securely during and after the study?
The University of Southampton has a Research Data Management Policy, including for data retention. The Policy can be consulted at
http://www.calendar.soton.ac.uk/sectionIV/research-data-management.html
All interview data will be kept in accordance with the Data Protection Act and University policy. It will be stored on the researcher's password protected computer and only accessible by the researcher.

22.   Describe any plans you have for feeding back the findings of the study to participants.
I will provide a summary of the findings for interested participants. A summary of my findings/copy of my thesis will also be submitted to the Hampshire Constabulary Leadership and Professional Development Department, and the College of Policing National Police Library.

23. What are the main ethical issues raised by your research and how do you intend to manage these?
As all participants will be employees of Hampshire Constabulary or other police organisation and over the age of 18, the main ethical issues concern the anonymity and confidentiality of the individual participants who will be interviewed, and of the data they provide. I have discussed the steps that I will take to manage these issues above. All participants and their data will be treated with privacy and respect.

The participants are all responsible, mature adults who will be fully informed of the purpose and nature of the research. Participants who do take part in the research will do so as volunteers, having been informed that they may withdraw at any point. I am mindful that the police officer participants comprising the leadership development programme cohort and their subordinate officers are of a lower rank than me within the organisation and that this may place pressure on some individuals to 'volunteer'. I will therefore stress that participants are free to withdraw from the study at any time without objection and with the right to privacy.

As a higher ranking officer I will also underline the aspect of confidentiality in relation to the purpose and nature of the research to allay any fears that officers' views will be 'reported' to the Leadership and Professional Development Department or senior management.

24. Please outline any other information you feel may be relevant to this   submission.
N/A

Risk Assessment Form

Researcher's name:

Sarah Clapham

Part 1 – Dissertation/project activities
What do you intend to do? (Please provide a brief description of your project and details of your proposed methods.) To date there has been no robust evaluative study in the UK policing context of the effectiveness of particular leadership styles of, or leadership development programmes for middle managers. Research in the policing context has largely been perception based with no evidence of the subsequent performance of individuals and their changed behaviour, or of actual impact in the workplace. The aim of this research is to provide such an evaluation and to ascertain the effectiveness of a Hampshire Constabulary leadership development programme in delivering the knowledge and understanding required by officers in middle management roles to evidence competence in leadership, and equip them with the skills to 'lead' as defined by the Hampshire Constabulary Leadership Charter. Proposed methods include review of documents and associated materials, interviews and focus groups.
Will this involve collection of information from other people? (In the case of projects involving fieldwork, please provide a description of your proposed sample/case study site.) The research will comprise: 1. Interviews with up to 8 police officers attending the Leadership and Management Programme. 2. Interviews with up to 2 members of Training staff. 3. Focus groups with subordinates of the officers at 3. (Up to 3 police officers in any one group). 4. Interviews with up to 8 line managers of the officers at 3. 5. An interview with the Hampshire Constabulary Leadership and Professional Development Manager. 6. An interview with the Hampshire Constabulary Chief Constable.
If relevant, what location/s is/are involved? All fieldwork will be done in the workplace i.e. at the Hampshire Constabulary Southern Support and Training Headquarters in Southampton, and relevant police stations around Hampshire.
Will you be working alone or with others? Interviews and focus groups will be conducted alone.
Part 2 – Potential safety issues / risk assessment.
Potential safety issues arising from proposed activity?

There are no safety issues for either the participants or myself other than everyday health and safety risks.

Person/s likely to be affected?

Participants and researcher.

Likelihood of risk?

Low

Part 3 – Precautions / risk reduction

Existing precautions:

Existing health and safety measures are in place at all the locations identifies including, for example, fire evacuation procedures.

Proposed risk reduction strategies if existing precautions are not adequate:

N/A

Part 4 – International Travel

If you intend to travel overseas to carry out fieldwork then you must carry out a risk assessment for each trip you make and attach a copy of the International Travel form to this document

Download the Risk Assessment for International Travel Form

Guidelines on risk assessment for international travel at can be located at: www.southampton.ac.uk/socscinet/safety ("risk assessment" section).

Before undertaking international travel and overseas visits all students must:

- Ensure a risk assessment has been undertaken for all journeys including to conferences and visits to other Universities and organisations. This is University policy and is not optional.
- Consult the University Finance/Insurance website for information on travel and insurance. Ensure that you take a copy of the University travel insurance information with you and know what to do if you should need medical assistance.
- Obtain from Occupational Health Service advice on any medical requirements for travel to areas to be visited.

- Ensure next of kin are aware of itinerary, contact person and telephone number at the University.
- Where possible arrange to be met by your host on arrival.

If you are unsure if you are covered by the University insurance scheme for the trip you are undertaking and for the country/countries you intend visiting, then you should contact the University's Insurance Office at insure@soton.ac.uk and check the Foreign and Commonwealth Office website.

Risk Assessment Form for International Travel attached	**NO**	**(Delete as applicable)**

Appendix N: Example of Participant Information Sheet

Participant Information Sheet
Police Officer Middle Managers

Study Title: Police Middle Management Leadership: A Case of Arrested Development?

Researcher: Sarah Clapham   **Ethics number**: 7830

Please read this information carefully before deciding to take part in this research. If you are happy to participate you will be asked to sign a consent form.

What is the research about?

I am a Police Inspector based in the Public Protection Department at the Southern Support and Training Headquarters. I am studying for a PhD in Education and my research interest is police leadership and police leadership development, in particular the middle management roles of Sergeant and Inspector.

The aim of my study is to evaluate the effectiveness of a Hampshire Constabulary leadership development programme in delivering the knowledge and understanding required by officers in middle management roles to evidence competence in leadership, and equip them with the skills to 'lead' as defined by the Hampshire Constabulary Leadership Charter. The study will attempt to answer the following key questions:

1. What leadership model is perceived to be associated with effective police leadership in Hampshire Constabulary?
2. To what extent does the leadership development programme deliver the knowledge, understanding and skills associated with the identified leadership model?
3. How is the learning acquired in the classroom in relation to the knowledge and understanding of effective leadership put into practice in the workplace?
4. What factors impact on workplace learning and development in relation to effective leadership practices?
5. How effective is the leadership development programme in changing leadership performance in the workplace?

Why have I been chosen?

You have been selected to take part in the study because you are a police officer in a middle management role and are enrolled on the Leadership and Management Programme (First-Line Manager – Level 1).

What will happen to me if I take part?

You will be interviewed by me on a total of four occasions. I will interview you both before and after your participation in the Leadership and Management Programme to seek your views on leadership and your expectations of the Programme, and your thoughts on the Programme and its content. You will then be interviewed by me at points 6 months and 12 months following the Programme to establish how you have put the learning from the Programme into practice in the workplace and what factors have had an impact on your leadership experience.

The interview can take place when and where is most convenient for you and will take the form of a one-to-one, face-to-face, audio recorded interview of approximately 30 minutes.
I will also interview 2 to 3 of your team members and your first-line manager in order to evaluate the impact of the Programme and other factors on your leadership practice.

Are there any benefits in my taking part?

Although there will be no individual benefit to you taking part, your contribution will be important. To date there has been no robust evaluative study in the UK of the effectiveness of particular leadership styles of, or leadership development programmes for police middle

managers. I hope that your contribution will add to current knowledge about the relevance, application and impact of police leadership and associated development programmes.

Are there any risks involved?
There are no risks to you taking part in this research.

Will my participation be confidential?
You will only be required to provide information to me as the researcher and I alone will handle the data, ensuring your anonymity and privacy. No reference will be made to locations or any other identifying data in the information used for the final thesis.

To comply with the Data Protection Act 1998 and University of Southampton policy, all data collected from my research will be stored securely on a password protected computer, and any identifying features of the information will be removed at the earliest opportunity.

Whilst I cannot preserve your anonymity in the interviews with your subordinates and line manager, I can assure you that all the information supplied by them will also only be handled by me, identifying features removed, and stored securely to preserve confidentiality.

In line with Hampshire Constabulary policy, however, I cannot assure confidentiality where:

- I believe there to be a real risk of harm to you or another person, or
- You disclose information which constitutes a criminal offence or disciplinary matter.

In the rare event of any such disclosure, you will be informed that the information will be reported to the relevant person/Department prior to it being so.

What happens if I change my mind?
I will ask you to sign a consent form when I come to interview you, which says that I can use the material from your interview. Your participation is voluntary and you have the right to withdraw at any time.

What happens if something goes wrong?
If you have any concerns or complaints during the course of your involvement in the research, please contact Dr Martina Prude, Head of Research Governance, University of Southampton, tel. 02380 595058, e-mail mad4@soton.ac.uk).

Where can I get more information?
Please feel free to contact me for more information about my research.

Inspector 442 Sarah Clapham
Internal ext: 711448
Mobile: 07990 558514

Appendix O: Example of Participant Consent Form

CONSENT FORM

(Subordinate Police Officers)

Study title: Police Middle Management Leadership: A Case of Arrested Development?

Researcher name: Sarah Clapham

Ethics reference: 7830

Please initial the box(es) if you agree with the statement(s):

I have read and understood the information sheet (04/11/13 Ver 1) and have had the opportunity to ask questions about the study.

I agree to take part in this research project and agree for my data to be audio recorded and used for the purpose of this study.

I understand that my responses will be anonymised in reports of the research.

I understand my participation is voluntary and I may withdraw at any time.

Data Protection

I understand that information collected about me during my participation in this study will be stored on a password protected computer and that this information will only be used for the purpose of this study.

Name of participant (print name)…………………………………………………

Signature of participant……………………………………………………………..

Date……………………………………………………………………………………

Appendix P: National Leadership Development Principles

All learning and development needs to support operational performance and improvement. The focus of any development needs to be on improving policing. There needs to be a very clear link between any development and improved performance of the service. Developing people to deliver the service will ensure resources are targeted to need and the best return on investment is achieved.

Learning happens in all settings and managers need to be equipped to support learning 'on the job' so that it becomes second nature to review performance and identify improvements.

Leadership programmes and development should be integrated such that knowledge skills and understanding at each level builds on the prior learning from earlier development.

All leadership development programmes will be built on the values of policing and provide the skills for these values to be lived each day in serving the public.

Each individual is responsible for their professional development and needs to invest personally, at least with their time, to develop themselves.

Mandatory course elements need to have clear pass / fail assessments to ensure quality outcomes are achieved.

Leadership programmes need to be valued and need to be 'hard to get on – hard to stay on'.

Managers should discuss learning outcomes with each individual before signing them up for a programme. They should revisit the learning outcomes with the individual immediately before the learning activity and managers

should assess the impact on performance of learning during PDR or supervision discussions.

Supervisors and managers need the skills to provide feedback and to undertake fair, consistent and transparent workplace assessments.

Any learning and development systems and processes need to keep bureaucracy to a minimum and managers must have the confidence to use the systems and processes to support and enable performance improvement.

Measures and evaluation of learning and development need to be simple.

Where learning programmes are provided they need to be combined with work based learning.

There needs to be clarity around the purpose of any assessment mechanism which should be transparent and open to the individual.

There is a blended approach to learning, which encourages access to development opportunities and takes account of current and best practice in education and training.

Appendix Q: Leadership and Management Programme (First-Line Manager – Level 1) Timetable

Day	Session
Mon	Welcome and Domestics Ethos of the Course What Makes a Great Leader? Myers-Briggs Indicator Problem Solving and the National Decision Making Model
Tues	Standards of Professional Behaviour Misconduct Poor Performance
Wed	Well Being Attendance Management Grievance Procedure
Thurs	Motivation Change Management PDRs including Action Plans
Fri	Assertiveness Dealing with Conflict Transactional Analysis Time Management and Delegation Teams

Appendix R: The National Decision Making Model

National Decision Model

- Gather information and intelligence
- Assess threat and risk and develop a working strategy
- Consider powers and policy
- Identify options and contingencies
- Take action and review what happened

Code of Ethics
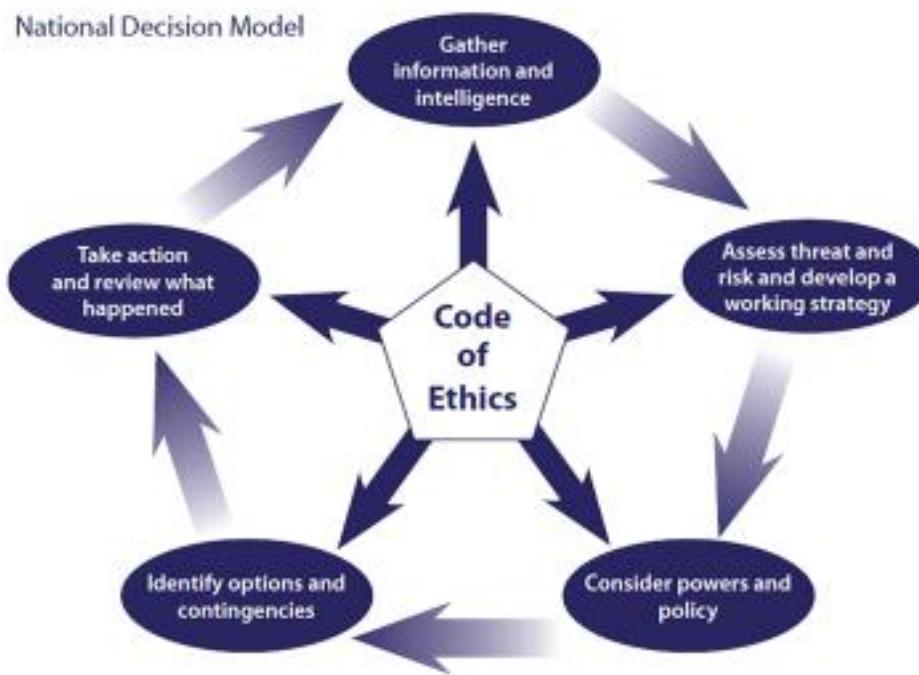
(College of Policing (2013) National Decision Making Model. https://www.app.college.police.uk/app-content/national-decision-model/the-national-decision-model/ [Accessed 07/08/17])

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