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The Ethical, Character Driven Organization:

Challenging Up and Supporting Down

Richard M. Ayres
David S. Corderman, PhD
National Executive Institute Associates
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The Ethical, Character Driven Organization: Challenging Up and Supporting Down

FOREWORD

This text is a follow-up to our 2008 NEIA project, *Ethical, Character Driven Leadership: How to Become a Premier Law Enforcement Agency*. This new work, *The Ethical, Character Driven Organization: Challenging Up and Supporting Down*, focuses on the importance of the law enforcement executive's role in creating an organizational environment where ongoing communication—both upward and downward—is consistently honest and robust.

Such an environment is most likely to produce a positive organizational culture, where employees support higher management, yet are willing to challenge it. They "challenge up" when they honestly disagree with ideas and policies that come from top management. Once final decisions are made, they "support down" by standing behind the decisions and making them work in the department and the community.

This work is based on our conviction that the most effective law enforcement organization—the one with the clear picture of its mission and guiding principles—needs constant feedback as to its effectiveness in achieving its mission and upholding its principles. The law enforcement leader's effectiveness and survival as agency head depends to a large extent on the quality and accuracy of the information he or she is receiving to make decisions.

We have built an extensive database of leadership lessons and communication strategies, collected from prominent law enforcement agencies nationwide. Here we offer these lessons as well as our perspectives on how they relate to success for today's law enforcement executives as they work to develop their agencies into premier organizations by practicing the concepts of ethical, character driven leadership enhanced through solid communication strategies; i.e., challenging up and supporting down.

Former FBI Special Agent Robert Bonshire deserves considerable credit for helping to develop and collect this information.

Richard M. Ayres
David S. Corderman, Ph.D.

The Ethical, Character Driven Organization: Challenging Up and Supporting Down

The Ethical, Character Driven Organization: Challenging Up and Supporting Down

THE ETHICAL, CHARACTER DRIVEN ORGANIZATION: CHALLENGING UP AND SUPPORTING DOWN

THE ETHICAL, CHARACTER DRIVEN ORGANIZATION MODEL

Ethical, character driven leadership is based on the premise that law enforcement leadership is everyone's business and essentially involves making a positive difference in the lives of our citizens. Simply defined, ethical, character driven leadership is a commitment (of all employees, sworn and non-sworn, top to bottom) to do the right thing, the right way, for the right reasons.

The right reasons are the vision, mission and guiding principles that permeate the total law enforcement organization. Ethical, character driven leadership is an effective framework or tool to help law enforcement agencies mold a positive organizational culture, ensure the public trust, and maximize effectiveness to meet the present and future challenges.

A positive organizational culture is most likely to thrive where employees support higher management, yet are willing to challenge it. They "challenge up" when they honestly disagree with ideas and policies that come from top management. Once final decisions are made, they "support down" by standing behind them and making them work in the department and the community.ⁱ

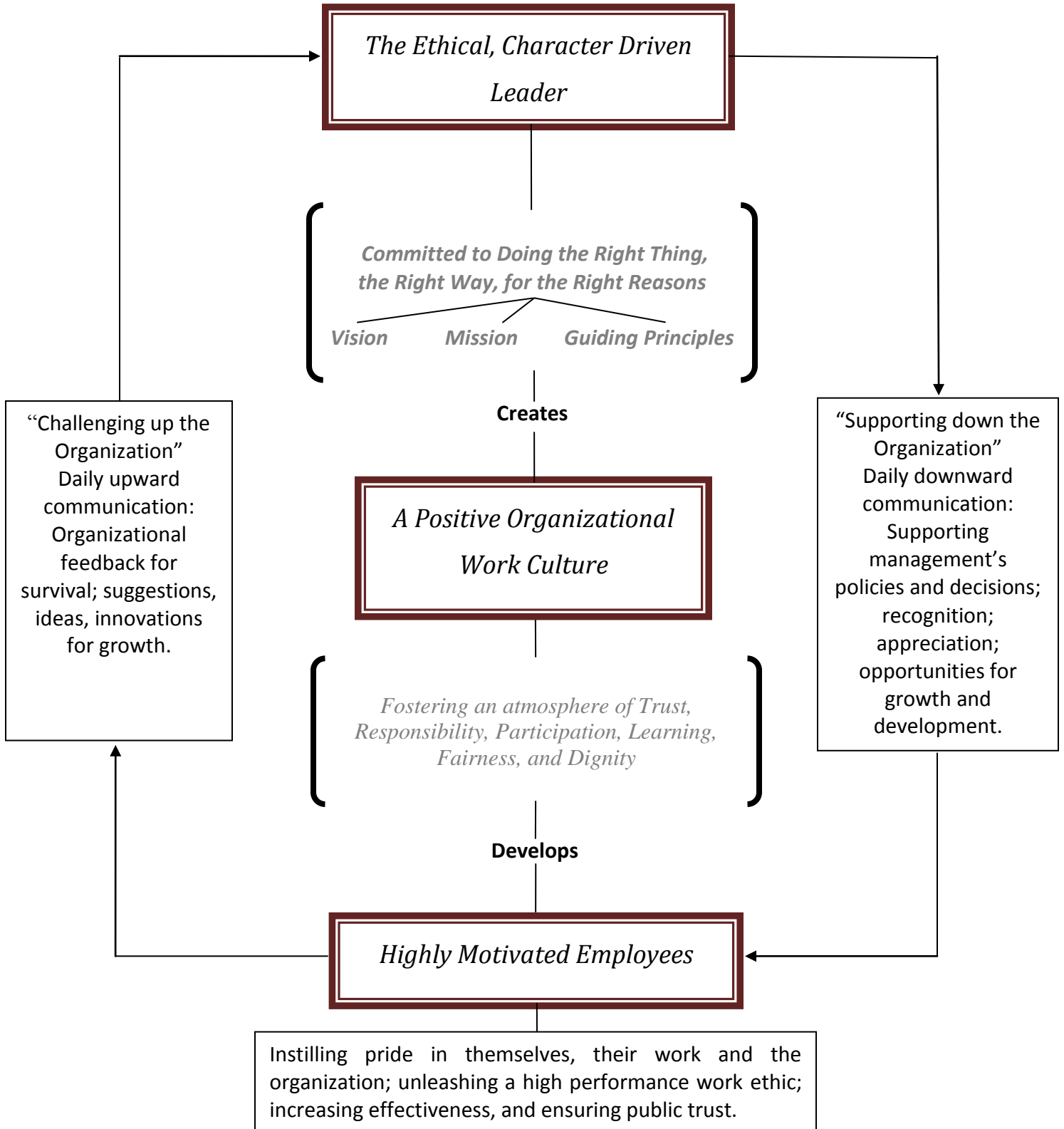
Steps to a Positive Organizational Culture

The leadership model on the following page illustrates how the ethical, character driven leader creates a positive organizational culture through his or her commitment to doing the right thing, the right way for the right reasons; i.e., the organization's vision, mission and guiding principles. This culture, in turn, develops highly motivated employees, who instill pride in themselves, their work and the organization; unleash a high performance work ethic; increase effectiveness; and ensure public trust.

Maintaining this culture requires the "challenge up—support down" aspect of the model. The "challenge up" side, on the left, requires employees to take responsibility to tell top management what they *need* to hear—not what they think they *want* to hear—and to make innovative suggestions for continuous improvement. An ethical, character driven organization cannot exist where employees are reluctant or afraid to tell the truth and are not accountable for helping to carry out the mission.

The Ethical, Character Driven Organization: Challenging Up and Supporting Down

The Ethical, Character Driven Organization



The Ethical, Character Driven Organization: Challenging Up and Supporting Down

On the right, the "support down" side of the model reflects management and employee responsibility at all levels for supporting and implementing executive policies and decisions to make a positive difference in the community. It also reflects management's responsibility to focus on employee recognition and appreciation as well as professional growth and development.

CHALLENGING UP: REQUISITE FOR SURVIVAL, GROWTH AND CREDIBILITY

No longer is ethical, character driven leadership that encourages challenging up the organization an interesting philosophical choice or desirable leadership style. It is a requisite for survival. Once an organization has a clear picture of its mission and guiding principles, it needs constant feedback as to its effectiveness in achieving its mission and upholding its principles. A law enforcement executive's effectiveness and survival as agency head will depend to a large extent on the quality and accuracy of the information he or she is receiving to make decisions.

Law enforcement leaders need their employees' help to survive, grow and develop credibility. They need their staff to challenge up the organization to ensure the boss is doing the right thing. At the same time, however, today's employees—the most educated, talented and enlightened workforce in the history of law enforcement—must feel free to offer this help—to make suggestions, promote ideas for continuous growth and improvement and speak their minds on needed change.

The leader who recognizes and expects to utilize the amazing skills available in his or her own department needs to create a culture of *open communication*, so all employees will *want* to help—to make a difference—by telling their boss what he or she needs to hear to be effective. Only through this culture of open communication can employees feel free to fulfill their responsibility—to *help the boss and organization look good and be good*. This key responsibility will not be fulfilled where employees gripe about their leaders but do not help them improve.

Employees Have Power to Help or Hinder

Law enforcement leaders promoting an ethical, character driven work environment need to insist that all employees who are providing input start out with what they think is *right*, not whether it agrees with management's position. Leaders must also encourage employees to bring "bad news" up the organization—to management's attention—in an effort to avoid crises.

Leaders need to bear in mind that their employees have the power to either help or hinder them and the agency as a whole. When employees are unwilling or afraid to challenge up the organization—to provide timely and accurate information for good

The Ethical, Character Driven Organization: Challenging Up and Supporting Down

decision making—the leader is likely to appear inept and ineffective and even to lack credibility.

Positive Impact of Challenging Up

Challenging up can aid in the leader's survival and organizational effectiveness by:

- Helping to clarify and communicate the department's mission and guiding principles;
- Keeping the department focused on issues crucial to achieving its mission;
- Preventing top management from taking steps that will cause the agency to fail in its mission;
- Ensuring that top management has honest feedback about their leadership style;
- Keeping top management informed as to what employees think is right as opposed to what is "politically correct";
- Bringing the problems, mistakes and "bad news" to top management's attention; and
- Helping to enhance and maintain the leader's credibility.

Credibility: the Foundation of Leadership

Effective leaders have *credibility*—a fundamental characteristic that is based on trust. This trait is the very foundation of leadership and an absolute requisite for effective execution of law enforcement's mission. Credibility is the lubrication that keeps the wheels turning, both internally within the agency and externally within the community. Credibility is earned by being available, visible, open, transparent and willing to let people challenge up the organization both internally and externally. Credibility tells employees that the leader cares about them and is concerned about doing the right thing.

The secret to closing the credibility gap, according to James Kouzes and Barry Posner (1993) lies in a willingness to get closer, to become known, and to get to know others as human beings. The authors contend that leaders who are inaccessible cannot possibly expect to be trusted just because they have a title. Leaders must earn credibility via the physical acts of shaking hands, touching a shoulder, leaning forward to listen, sharing personal experiences, telling stories, and joining dialogue. Only through such efforts do leaders become people—not just holders of positions.ⁱⁱ

The Ethical, Character Driven Organization: Challenging Up and Supporting Down

Kouzes and Posner's words are echoed by Ron Palmer, Police Chief of Tulsa, Oklahoma, who commented to other law enforcement executives on the lessons he has learned in his career and on his legacy:

"I'll ask that you think back to your roots: you are a cop (albeit four or five ranks removed from the beat, but still a cop). Remember when the Chief showed up and you didn't expect him? Wow! He just showed up. Showing up is important stuff to your subordinates. Dinners. Squad Meetings. Court. Managing by walking around. Birthdays. Retirements. The list goes on and on. You don't have to be invited. Don't show up and boss folks around. Show up and enjoy the moment. These are real folks that work for you, not just a payroll number, not just a nameless face. Be there for them when they need you and also when they least expect you—then they will be there for you. This effort extends to public appearances as well. Do the extra community meeting. Go to a barbeque. Walk in the parade. Participate. Be seen.

"Nothing is better than leaving the legacy of citizens and officers alike telling you that you are missed and you did a good job. I like this. For me, these are frequent occurrences, which is a great personal legacy. For me, etch my headstone so it relates my legacy:

Ron Palmer
Chief of Police (Retired)
1950 - ?????
*'He Showed Up'*ⁱⁱⁱ

IT'S LONELY AT THE TOP—OR WHY SOME BOSSES ARE INEFFECTIVE

Despite their best efforts, some leaders are simply ineffective, because of any or all of the following factors:

- Bosses are ordinary people;
- Being a boss is a difficult job;
- Bosses are not always chosen for ability to lead or manage people;
- Bosses do not always receive adequate leadership training;
- Bosses do not always have good role models;
- Bosses are not always good at handling power and authority; and
- It's Lonely At The Top! (Bosses do not always receive personal feedback).

Bosses Are Ordinary People

Bosses are not perfect. They make mistakes. They bring their personalities and problems with them to work each day. They have warts, worries and concerns just like the rest of us. Unfortunately, when they are not performing as super heroes or according to the wishes of subordinates, they are perceived as ineffective.

Being a Boss is a Difficult Job

A boss is responsible for others' performance—for ensuring that they perform their assigned tasks on time and in a quality manner. There is no way a boss can make everyone happy. Managing a diverse work group of different personalities, strengths and limitations often requires making unpopular decisions.

Many law enforcement leaders perceive themselves as highly visible, vulnerable targets of discontent, caught in crossfire between politicians, the public, various interest and pressure groups and their own officers. The police chief's job can at times be a thankless one, as illustrated by the following folktale:

"There once as a police chief who lost his job and then found that he was rejected wherever he applied because he was either over- or under-qualified. Totally dejected and becoming desperate, he eventually landed a job with a local carnival. His task was a simple one: to stick his head through a hole in a tent wall and have people throw baseballs at him—three baseballs for one dollar.

"Two police officers patrolling the carnival observed their ex-chief and remarked, 'What a sad commentary! One day a police chief, the next day a target for people throwing baseballs.' The officers watched for a few minutes and finally approached their former chief on one of his breaks, saying, 'Man, this must be a tough job.' To which the chief answered, 'Well, yes and no. You see, it's not the baseballs—you can see them coming and have an opportunity to dodge and duck them. The really tough part of the job is the dart game that's going on in the back.'"

Real Life Chiefs are Targets Too. So it is with the real life police chief—an exposed and susceptible target. He or she usually does an excellent job dodging and ducking the baseballs being thrown by the politicians, the public and the various interest and pressures groups—the one's he can see. The really tough part of the job is when employees begin throwing darts on the other side. Being a boss is a tough job—there is no way you can satisfy everyone.

The Ethical, Character Driven Organization: Challenging Up and Supporting Down

Bosses Are Not Always Chosen for Ability to Lead or Manage People

Ability is a critical factor in most professions; yet, people often become bosses because they: 1) are good followers; 2) are loyal employees with good attitudes; 3) know the right people (politics); 4) are good at taking tests; 5) have excellent technical skills; 6) are related to the boss; or 7) are elected. Once such people become "the boss," their lack of interpersonal and leadership skills often become glaring flaws and barriers to their effectiveness.

Bosses Do Not Always Receive Adequate Leadership Training

While many bosses will spend most of their careers in management or leadership positions, a review of their personnel files upon retirement will often reveal a focus on training in technical or operational matters, with little or no emphasis on leadership. In the past, law enforcement leaders, in particular, may often have received inadequate leadership training. Today's effective law enforcement leaders are committed to a personal program of continuous professional growth and development.

Bosses Do Not Always Have Good Role Models

Many bosses did not have good role models to teach them good leadership skills; thus, they became good leaders by *not* practicing what their own bosses did to them. Today's most effective law enforcement agencies treat leadership as a craft, where mentoring is practiced on a "master-apprentice" philosophy.

Bosses Are Not Always Good at Handling Power and Authority

Lord Acton's dictum, "power tends to corrupt and absolute power corrupts absolutely," often rings true in law enforcement agencies. Perhaps it is the high altitude of their office or the increased helium in their egos that makes some bosses abuse their power and authority and reduces their effectiveness.

It's Lonely at the Top! (Bosses Do Not Always Receive Personal Feedback)

Almost everyone has heard the expression, "it's lonely at the top"; yet few seem to grasp its significance. Common interpretations include: "the buck stops here"; "when you are the boss nobody talks to you"; "you get lonely when you have to make unpopular decisions"; "you're isolated"; etc.

"It's lonely at the top" is, quite simply, the reason most bosses are not as effective as they could be. The higher you go in the organization, the less feedback you will receive about your own performance. When you are the boss, few people are going to tell you that you screwed up, that you made a mistake, that you could have handled that

The Ethical, Character Driven Organization: Challenging Up and Supporting Down

situation better. It's lonely at the top because there is a reluctance to give the boss the feedback needed to improve his or her performance. Even in those agencies where employees feel free to support up the organization, giving ideas and suggestions for organizational growth, there is an unwillingness to give feedback to the chief about his personal performance.

In his best selling book, *What Got You Here Won't Get You There*, Marshall Goldsmith (a world authority in helping successful leaders get even better) asks, "When was the last time your efforts to prove the boss wrong worked as a career enhancing maneuver?"^{iv} It takes courage to tell the boss what he or she needs to hear; i.e., how he is seen by the rest of us, in order to change behavior for the better. However, reluctance to tell the emperor he has no clothes only perpetuates the problem.

One of the best examples of such courage is shared by Al Kaltman in *Cigars, Whiskey & Winning: Leadership Lessons from General Ulysses S. Grant* (1998):

The Courage to Tell it Like it is. "One of Grant's first acts upon being promoted to brigadier general was to name John Rawlins as his adjutant. When rumors about Grant's drinking started circulating, Rawlins wrote to one of Grant's supporters, Congressman Washburne: 'I would say unequivocally and emphatically that the statement that General Grant is drinking very hard is utterly untrue and could have originated only in malice.' Rawlins would rush to Grant's defense if he had been falsely accused; but when in June 1863, during a lull in the Vicksburg campaign, Rawlins became concerned that Grant may have started drinking again, he lost no time taking Grant to task in a sharply worded letter:

"The great solicitude I feel for the safety of this army leads me to mention what I had hoped never again to do – the subject of your drinking. This may surprise you, for I may be (and trust I am) doing you an injustice by unfounded suspicions, but if an error it better be on the side of this country's safety than in fear of offending a friend. I have heard that Dr. McMillan, at General Sherman's a few days ago, induced you, notwithstanding your pledge to me, to take a glass of wine...If my suspicions are unfounded, let my friendship for you and my zeal for my country be my excuse for this letter; and if they are correctly founded, and you determine not to heed the admonitions and the prayers of this hasty note by immediately ceasing to touch a single drop of any kind of liquor; no matter by whom asked or under what circumstances, let my immediate relief from duty in this department be the result."^v

The Ethical, Character Driven Organization: Challenging Up and Supporting Down

Lesson Learned. What is the lesson to be learned from this historical snapshot? According to Kaltman, the lesson is to surround yourself with people of unquestioned integrity, who have the courage to tell you when they think what you are doing is wrong. Indeed, all leaders need a "Rawlins" to offer appropriate feedback when they do the wrong thing.

One leader who obviously learned this lesson was Alfred P. Sloan, General Motors Chairman and CEO. When Sloan hired Peter F. Drucker, eminent management consultant, for his first assignment—a study of GM's management structure and policies—Sloan told the new consultant the following:

"I shall not tell you what to study, what to write, or what conclusions to come to. This is your task. My only instruction to you is to put down what you think is right as you see it. Don't you worry about our reaction. Don't you worry about whether we will like this or dislike that. And don't you, above all, concern yourself with the compromises that might be needed to make your recommendations acceptable. There is not one executive in this company who does not know how to make every conceivable compromise without any help from you. But he can't make the right compromise unless you first tell him what 'right' is."^{vi}

Personal Feedback Difficult for Law Enforcement Executives. Commissioner Charles Ramsey, Philadelphia Police Department, contends that traditionally in law enforcement it is very difficult for a chief to get personal feedback from his people regarding his own performance. According to Ramsey, officers do not like to tell chiefs what they need to hear unless a particular relationship has been developed. He said it takes time to build such relationships, requiring many one-on-one dealings with them, where you spend more time listening than talking, focusing on issues and solutions. But it usually does not take long to get a reading on someone who is not being open with you. There is a lull in the conversation or they are being silent when they shouldn't be.^{vii}

WHY EMPLOYEES ARE RELUCTANT TO "CHALLENGE UP"

The concept of "challenge up" communication sounds simple—but easy it is not. Many law enforcement agencies are prevented from receiving needed and accurate information flowing up the organization because of employee fear and lack of trust. Kathleen D. Ryan and Daniel K. Oestreich (1991) define such fear as feeling threatened by possible repercussions as a result of speaking up about work-related concerns.^{viii}

Reluctance Prevails in Law Enforcement

In our training of law enforcement officers at the FBI Academy and in police departments nationwide, it is apparent that fear of reprisals is often a significant barrier to effective upward communication within agencies. Officers from agencies across the country gave a wide range of reasons, including the following, for their reluctance to tell top management what they need to hear:

- We're not allowed to (real or perceived);
- Peer pressure: no one else is speaking up, why should I? ("You go first" syndrome. Everyone "passes the buck" for taking responsibility to challenge up);
- They don't want the facts to interfere with the truth;
- It doesn't matter, it won't get done away—communicating up is an act of futility;
- Chief's office is a black hole—ideas are sucked in and never heard of again;
- Chief's office is where ideas go to die;
- Chief's office is known as the field of dreams—ideas just fade away;
- Management doesn't listen to us—they lack confidence in us—messages just fall on deaf ears;
- Bureaucracy punishes creativity;
- Suggestions are filtered as they move up the organization;
- Experience of other people—those who have spoken up have never been seen or heard of again—they're transferred or demoted;
- You will be ostracized;
- You won't receive your pay raise;
- You will receive a poor evaluation;
- You won't be promoted;
- You will be ridiculed or embarrassed;
- You don't want to upstage or embarrass management;
- You will be labeled a trouble maker—a complainer—not a team player;
- Timing is not right;
- Suggestions equal disloyalty;
- Fear of feeling stupid;
- I don't want to make waves or rock the boat;
- The boss will overreact and make the problem worse;
- Eagles may soar, but weasels never get sucked into the jet engine;
- Good ideas get stolen by management, and I won't receive the credit;
- If an idea is accepted, I'll have to do all the work;
- The BOHICA syndrome (bend over, here it comes again);
- Anything negative will always be remembered; anything positive will soon be forgotten; and
- You may get fired.

The Ethical, Character Driven Organization: Challenging Up and Supporting Down

Unquestionably, the many and varied reasons (real or perceived) that officers gave for not speaking up greatly impede the flow of accurate information to top management about needed changes, improvements or other important issues. The paradox is that we have never met a law enforcement executive who does not want feedback for improvement, either individually or organizationally. In fact, a frequent complaint from law enforcement leaders is that they would like their staff to assume more responsibility for ensuring the accurate upward flow of information and ideas.

One chief, expressing his frustration after meeting with his captains to ask why they had not told him about a particular issue, said: "The captains complained that they told the command staff about the issue but it went no further because of their apparent reluctance to tell me. This whole issue of communicating up the organization is very frustrating. I want to scream, when did I stop listening?"^{ix}

It takes courage for an employee to challenge up the department and engage leaders at higher levels about behaviors or policies that threaten the organization or to provide suggestions for needed improvement. Unquestionably, courage is critical. Equally important, however, is the employee's *manner* when he or she makes the decision to challenge up.

Challenging Up Requires Honesty and Utmost Respect

To avoid having the act of challenging up the organization become a career ending experience, employees should take steps to:

- Begin building a reputation as a person who consistently tells people what they think is right as they see it. Everyone needs someone they can go to and get direct feedback on themselves or a particular issue without it being "sugar coated";
- Always show respect when giving feedback to the boss. If you do not respect the person, at least respect the position. This is the time to practice humility; e.g., "In all due respect sir, I believe it is my responsibility to bring this to your attention." Many of us can remember as a child being reprimanded by a parent and asking, "What did I say?" The response was, "It's not what you said, but how you said it." Employees often suffer the same fate, not because of what they said, but how they said it. The employee then complains, "See, if you say anything around here, they shoot the messenger." However, it is often not *what* the employee said, but *how* they said it.
- Never embarrass your boss! Always give any negative feedback to your boss in private. Be aware that most bosses have large egos, and *beware* of that ego.

IMPACT OF FAILURE TO CHALLENGE UP

Law enforcement agencies that encourage employees to challenge up the organization for needed change and improvement and have input into decision and policy making are considered good places to work. Ideas can be exchanged and many problems resolved or avoided. On the other hand, agencies that discourage officers from expressing their views or ignore their suggestions find that frustration and anxiety manifest themselves as low morale, employee dissatisfaction, job alienation and low productivity.

Failure to Challenge Up: Officer Perceptions

Measuring the impact of the failure to challenge up the organization is neither easy nor exact. During our training programs, we asked law enforcement officers how their failure to challenge up affected them, their work product and the organization as a whole. In essence, we asked, "Is there a negative impact to a culture where employees are reluctant or afraid to tell top management the truth, to challenge up and tell them what they need to hear?" The responses provided an alarming picture of numerous law enforcement agencies where employees are reluctant to challenge up. Samples of those responses follow:

- Promotes employee apathy;
- Reduces initiative, creativity and innovation;
- Perpetuates mediocrity;
- Reduces the level of service;
- Reduces efficiency, effectiveness and productivity;
- Management decisions are based on inaccurate, incomplete and outdated information;
- Fosters incorrect decisions and misunderstanding based on lack of information;
- Lowers employee confidence and organizational morale;
- People don't feel appreciated;
- Causes employee stress;
- Causes poor work ethic;
- Minimizes constructive review;
- Suppresses future feedback;
- Destroys a living organization;
- Causes repeat mistakes;
- Causes stagnation, inhibits department's ability to meet future challenges;
- Causes embarrassing surprises;
- Isolates the department and the chief;
- Programs the organization for failure;
- Causes paranoia – conspiracy factor;
- Reduces management's opportunities to recognize warning signs;

The Ethical, Character Driven Organization: Challenging Up and Supporting Down

Limits organization's growth;
Is a disservice to the public and lowers public's confidence;
Causes department to operate in a vacuum; and
Reduces esprit de corps and pride.

Such responses, though somewhat intangible, represent attitudes that cost the organization dearly. The responses as a whole reveal clearly that a quality, ethical, character driven organization cannot exist where employees are afraid or reluctant to tell the truth—to challenge up. Law enforcement leaders in such agencies need to focus on overcoming the barriers to upward communication to create a culture where employees feel free to tell management what they first think is right rather than merely acceptable.

LEARNING TO CHALLENGE UP THE ETHICAL, CHARACTER DRIVEN ORGANIZATION

Law enforcement leaders cannot create a culture of open communication overnight. Instead, they must commit themselves to a give-and-take process, and work at it daily. The benefits derived from providing employees with opportunities for honest, open, upward communication in an organizational atmosphere of trust and cooperation are undeniable: better decisions and problem resolution; improved supervisory practices; less employee frustration and anxiety; less labor-management conflict; and, ultimately, improved trust. Lee Baca, Sheriff, Los Angeles County Sheriff's Department states it very succinctly offering simply, "Fairness is being listened to."^x

Foundation for Developing Culture of Open Communication

A culture of open communication must be based on management's desire to create an ethical, character driven organization where:

- Managers believe that officers can, because of their daily contact with operational problems and needs, provide unique expertise on law enforcement policy issues;
- Employees feel free to voice their concerns and dissatisfactions to management without fear of reprisals;
- Employees are willing to tell management what they think is right, rather than what is merely acceptable;
- Organized disagreement is encouraged, and management's commitment to effective problem solving is emphasized;

The Ethical, Character Driven Organization: Challenging Up and Supporting Down

- Innovation and creativity are encouraged, and employees are rewarded for trying and succeeding but not penalized for trying and failing; and
- Managers are encouraged to take time to listen to employees on a regular basis.

An organizational climate developed along these guidelines will promote employee input into the department's policy and decision making and provide top management with the feedback they need to be effective. Such an open communication climate is described by Bill Oldham, former Chief, Memphis, Tennessee, and now Chief Deputy, Shelby County, Tennessee, Sheriff's Office:

"We have a staff meeting with our sergeants every other week and encourage open feedback on all issues without any repercussions. We do not want 'yes men' at our staff meetings. Ineffective upward communication has always been an impediment to managing properly. Allowing open communication and discussion at the staff meeting gives the officers an understanding that they have a voice in the department. When they can openly tell us what they need and when they need it, we gain a better understanding as to what is going on in the street. The return on our investment of encouraging upward communication is the officers' involvement and sense of ownership in the affairs of the department."^{xi}

In studying the problem of officer reluctance to "challenge up," we found that the same basic communication barriers exist in all types of organizations today. For example, inadequate upward communication, or reluctance to challenge up—to tell top management what they needed to hear—may have been one factor behind the invasion of Iraq for weapons of mass destruction, the bailouts of our financial institutions, and/or the crises at General Motors and Chrysler. The real challenge for leaders today, whether in law enforcement or other areas of the public and private sector, is to identify new and varied techniques for encouraging upward communication. The more techniques offered, the better the chance for good decisions and effective problem resolution.

TECHNIQUES FOR "CHALLENGING UP" THE ORGANIZATION

In September 1984, Marshall Goldsmith, then of Keilty and Goldsmith, a training and consulting firm in LaJolla, California, brought together 25 executives from leading corporations to share with the FBI Academy training staff their experiences and programs in leadership and executive development training. Participants found the information exchange valuable and recommended that they meet again.

The Ethical, Character Driven Organization: Challenging Up and Supporting Down

Warner-Lambert Company later sponsored a second meeting of this private/public sector liaison, in East Hanover, New Jersey. Participants from 22 leading organizations, including the FBI Training Academy, met to discuss what they had identified as one of their most serious organizational problems—lack of effective upward communication. Each of the 22 participants agreed to share a technique of upward communication that had proven effective in their organization.

A wide range of strategies for encouraging upward communication were identified. Goldsmith, the main facilitator, designed the process and subsequently furnished a report outlining 22 of the upward communication techniques provided. All participants found the report to be extremely valuable in reviewing the techniques that they were using in their own organizations and in considering new techniques for the future.

Goldsmith's ideas and design for sharing upward communication techniques were subsequently used to examine techniques in law enforcement organizations. Police officers attending the FBI National Academy and training programs throughout the country were requested to provide upward communication techniques that have been essential to their agencies' effectiveness.

Law Enforcement Agency Techniques Examined

Numerous similar techniques were submitted, with only slight variations. Others were standard; while still others, such as the "Designated Devil's Advocate" technique were used by only one police agency. (This is not to suggest that no other police organization uses the Designated Devil's Advocate technique, but rather, that only one was identified in this study.) In all, 43 different upward communication techniques were identified that have proven effective in law enforcement agencies.

As techniques were identified, the general topic of upward communication was divided into four major categories: 1) handling complaints or concerns; 2) encouraging suggestions or innovative ideas; 3) feedback for individual managers; and 4) feedback on the organization and its systems.

Most of the 43 techniques identified were deemed useful for more than one category (see Appendix, "Techniques for Encouraging Upward Communication"). Specific letters are used to identify each of the four major uses for upward communication:

- C – Handling complaints or concerns;
- S – Encouraging suggestions or innovative ideas;
- I – Feedback for individual managers; and
- O – Feedback on the organization and its systems.

The Ethical, Character Driven Organization: Challenging Up and Supporting Down

For example, the use of advisory groups as a technique will be represented by the letters C, S, and O since this technique is generally used in three of the four categories: handling complaints or concerns; encouraging suggestions or innovative ideas; and providing feedback on the organization and its systems.

Advisory Groups Can Provide Critical Feedback

Rob Davis, Chief, San Jose, California, is one leader who finds advisory groups extremely valuable. Davis said he believes it is important to be involved in the community and get feedback on how the department is perceived by the public. Actively involved with key community groups, organizations and associations, Davis contends that a police administrator must get out there and invest time in the community. One year, Davis attended 238 community meetings. He is now down to 178 meetings a year, and these are always during evenings and weekends, not during working hours. These advisory meetings take a heavy toll on family life, Davis admits, but he said they are extremely important in getting the needed feedback to run a police department effectively.^{xii}

Lunch with the Sheriff

"Lunch with the Sheriff," is an example of a communication technique that is represented by all four letters, including feedback on the individual manager. Dan Kuhn, Chief of Staff, Marion County, Florida, Sheriff's Office, explained how the Sheriff stays in touch with the organization by having lunch with 10-12 line officers once a month, with no other management personnel attending. The informal session has proven effective in building relationships and opening lines of communication. The goal is to eventually give all employees the opportunity to have lunch with the Sheriff.^{xiii}

Each outline of the 43 techniques, presented in the Appendix, includes the following:

- A description of the technique or process;
- A list of options or variations to the technique;
- A description of how the technique can be used in the organization;
- Advantages of the technique to the organization;
- Concerns or potential problems to be aware of in using the technique; and
- Expected results of the technique for the individual and organization when it is working well.

These 43 techniques of upward communication are indicative of a positive trend: today's law enforcement agencies are encouraging their employees, as well as outside groups, to challenge up the organization. Increasingly, law enforcement leaders are taking steps to foster an open and more transparent environment where people, both internally and externally, feel free to challenge up the organization—to tell top

The Ethical, Character Driven Organization: Challenging Up and Supporting Down

management what they think is right and what they need to hear, rather than what is merely acceptable.

SUPPORTING DOWN THE ORGANIZATION

In addition to establishing the positive work culture through the vision, mission and guiding principles and encouraging employees to "challenge up" with accurate information, the ethical, character driven leader seeks employee commitment to support down the organization.

Employees and managers at all levels "support down" the organization by standing behind management's policies and decisions and implementing them to make a positive difference. Colin Powell, discussing "loyalty," could very well have been speaking of "challenging up" and "supporting down" when he said:

"When we are debating an issue, loyalty means giving me your honest opinion, whether you think I'll like it or not. Disagreement, at this stage, stimulates me. But once a decision is made, the debate ends. From that point on, loyalty means executing the decision as if it were your own."^{xiv}

Managers don't always demonstrate this type of loyalty or support down the organization effectively. Instead, they may exercise what Marshall Goldsmith refers to in his leadership lectures as "Transparent Management" and "Stained Glass Management."

Transparent Management

Transparent management is where the manager advises his subordinates about what took place at the staff meeting, saying, "The chief said we have to implement the policy or specific directive." The manager is "passing the buck"; he or she is refusing to accept responsibility for the decision and is essentially blaming it on the chief. The employees see through the transparent manager all the way up to the chief. If the employees question the manager about whether he or she supports the policy or directive, the typical transparent management response is, "The chief says we have to, so we have to do it."

Supporting down the organization assumes that the manager has been given the opportunity to challenge up, took advantage of this opportunity, and voiced his or her legitimate concerns to top management. A discussion or debate may occur over the legitimate concerns, but once a decision is made, the debate ends; and supporting down means executing the decision as if it were their own. The proper response upon reporting back to the manager's work group is, "We have decided we need to implement the policy or directive." If the manager is questioned about his or her loyalty

The Ethical, Character Driven Organization: Challenging Up and Supporting Down

to the decision, the manager can effectively support down the organization by replying in good conscience, "All the legitimate concerns were raised, discussed and addressed, and we decided to move forward and implement the policy or directive."

Stained Glass Management

Stained glass management is where a little color is added to the manager's response when reporting back to his employees. For example, "You won't believe the stupid idea those idiots in the front office came up with this time." The manager who supports down the organization discourages destructive comments, does not "pass the buck" or blame higher level management.

Providing Employee Recognition and Appreciation

Supporting down includes providing employee recognition and appreciation for work well done. One of Jack Welch's goals, when CEO of General Electric, was to remain accessible to the rank and file and break down the barriers that tend to isolate most executives. Welch's accessibility also served a more basic purpose, which included opportunities to reach out and offer a little bit of help, an idea, a nudge, or a pat on the back to the men and women who were working hard.^{xv}

Rob Davis is another executive who finds it is important to focus outside the formal meetings and communication process and simply get out, shake hands and meet with employees. Davis believes that when you talk with people and thank them for a job well done, you begin to open lines of communication. When you give thanks to employees, Davis contends, you are developing opportunities to get more information.^{xvi}

TRAINING: A POWERFUL VEHICLE FOR COMMUNICATION

Training—recognized as a powerful vehicle for communication—is discussed within one of the techniques for challenging up the organization, "Training Program Committee" (see Appendix). At times however, much of the discussion during a department's leadership training stays in the classroom or leaves with the instructor at the end of the program. As trainers, one of our responsibilities is to facilitate communication up the organization to increase its effectiveness. With this objective, and with the agency head's approval in each case, we solicit recommendations from the supervisors and managers attending the training sessions based on the question:

"What one thing could top management do on a regular basis (that is not already being done) that would make a positive, significant difference in organizational effectiveness?"

The Ethical, Character Driven Organization: Challenging Up and Supporting Down

Participant Consensus: "Provide Communication and Recognition!"

The responses and recommendations are provided to the agency head as a training product. We urge the chief or sheriff to thank the participants (their employees) formally for their input and to provide a response to the recommendations within a specific time period. The recommendations submitted are seldom unique. Nationwide, the vast majority of officer responses to this question focus on two issues: 1) communication—the need for top management to provide opportunities for officers to challenge up the organization; and 2) recognition—the need for top management to show that it cares about the officers and appreciates the work being done.

Unfortunately, other than during this type of training, many employees are given the opportunity to provide such input to top management only one time—during exit interviews—just as they are resigning or retiring. The typical response to this question during an exit interview is: "I've been here 20-25 years. What took you so long to ask for my input?"

The most remarkable aspect of officer recommendations (communication and recognition or challenging up and supporting down) is that they cost little or nothing to implement, while the gain in organizational effectiveness can be immeasurable.

CONCLUSION

Ethical, character driven leadership is an effective framework or tool for law enforcement agencies to mold a positive organizational culture, ensure the public trust, and maximize effectiveness to meet the present and future challenges. This positive organizational culture, created by the agency's vision, mission and guiding principles, is most likely to thrive where employees support higher management, yet are willing to challenge it.

They "challenge up" by telling top management what they need to hear—not what they think they want to hear—and by making innovative suggestions for continuous improvement. An ethical, character driven organization is one that encourages its employees to give ideas and suggestions for organizational growth and provide feedback to the leader about his or her personal performance.

Forty-three strategies for encouraging upward communication in law enforcement agencies have been identified and are provided in the Appendix to assist executives in developing new techniques for: 1) handling complaints or concerns; 2) encouraging suggestions or innovative ideas; 3) providing feedback for individual managers; and 4) obtaining feedback on the organization and its systems.

Employees "support down" by standing behind management's policies and decisions and implementing them to make a positive difference. Supporting down discourages

The Ethical, Character Driven Organization: Challenging Up and Supporting Down

destructive comments and does not permit managers to "pass the buck" or blame higher level management. Supporting down also includes providing employee recognition and appreciation for work well done. Ethical, character driven leaders are committed to making the workplace a "worth place"—where management shows it cares about its people, and they in turn support them.

Law enforcement executives in today's ethical, character driven agencies are those who set the example for employees; develop and use the organization's vision, mission and guiding principles to establish the right culture; and use the techniques identified to encourage employees to "challenge up" and "support down."

The Ethical, Character Driven Organization: Challenging Up and Supporting Down

LEARNING LESSONS:

1. An ethical, character driven organization is most likely to thrive where employees support higher management, yet are willing to challenge it.
2. Employees "challenge up" when they honestly disagree with ideas and policies that come from top management.
3. Employees "support down" by standing behind management's policies and decisions and making them work in the workplace and the community.
4. Employees "support down" by discouraging destructive comments and not "passing the buck" or blaming higher level management.
5. The higher you advance in your organization, the less feedback you will receive about your own performance.
6. A key employee responsibility is to help the boss and organization look good and be good.
7. Employees should feel free to voice their concerns and dissatisfactions to management without fear of reprisals.
8. Employees need to tell management what they think is right, rather than what is merely acceptable.
9. Challenging up requires honesty and utmost respect.

The Ethical, Character Driven Organization: Challenging Up and Supporting Down

End Notes

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Appendix

Techniques for Encouraging Upward Communication

The Ethical, Character Driven Organization:
Challenging Up and Supporting Down

TECHNIQUES FOR ENCOURAGING UPWARD COMMUNICATION

	Complaints	Suggestions	Individual Feedback	Organization Feedback
ADVISORY GROUPS	✓	✓		✓
ANNUAL EMPLOYEE SURVEY				✓
ANNUAL REPORTS	✓	✓		✓
AWARDS AND COMMENDATIONS		✓	✓	✓
BRAINSTORMING SESSIONS		✓		✓
BUDGET PROCESS		✓	✓	✓
CAREER DEVELOPMENT PROGRAM	✓	✓	✓	✓
CITIZEN COMPLAINT PROCEDURE	✓	✓	✓	✓
CITIZEN POLICE ACADEMY	✓	✓		✓
COMMUNICATION THROUGH AGREEMENT		✓		✓
COMMUNITY AFFAIRS UNIT	✓	✓	✓	✓
COMMUNITY TELEPHONE SURVEY	✓	✓	✓	✓
COMPUTER STATISTICS (COMPSTAT)				✓
DAILY REPORTS	✓	✓		✓
DESIGNATED DEVIL'S ADVOCATE	✓	✓	✓	✓
DIAL THE CHIEF	✓	✓		
ELECTRONIC MAIL (E-MAIL)		✓	✓	

The Ethical, Character Driven Organization:
Challenging Up and Supporting Down

	Complaints	Suggestions	Individual Feedback	Organization Feedback
EMPLOYEE COUNCIL	✓	✓	✓	✓
EMPLOYEE EVALUATIONS		✓	✓	✓
EXECUTIVE VISITS TO UNION MEETINGS	✓	✓	✓	✓
EXECUTIVES WORKING WEEKENDS WITH LINE OFFICERS	✓	✓	✓	✓
EXIT INTERVIEWS	✓	✓	✓	✓
GRIEVANCE PROCEDURE	✓			
INSPECTION PROCESS	✓	✓	✓	✓
ISSUE PAPER	✓	✓	✓	✓
LABOR MANAGEMENT COMMITTEE	✓	✓		✓
LUNCH (DINING) WITH THE SHERIFF	✓	✓	✓	✓
MAJOR INCIDENT CRITIQUE		✓		✓
MANAGEMENT BY WANDERING AROUND	✓	✓	✓	✓
NEWSLETTER	✓	✓	✓	✓
NOMINAL GROUP TECHNIQUE				✓
OMBUDSMAN	✓			
OPEN DOOR POLICY	✓	✓		
QUALITY CIRCLES	✓	✓		✓
RECRUIT INTERVIEWS	✓	✓	✓	✓
RETREAT	✓	✓	✓	✓

The Ethical, Character Driven Organization:
Challenging Up and Supporting Down

	Complaints	Suggestions	Individual Feedback	Organization Feedback
SKIP INTERVIEW PROCESS			✓	✓
STAFF MEETINGS	✓	✓		✓
SUGGESTIONS PROGRAM		✓		
TASK FORCE		✓	✓	✓
TRAINING PROGRAM COMMITTEE	✓	✓		✓
UPWARD EVALUATIONS			✓	
VISITATION PROGRAM			✓	✓

ADVISORY GROUPS (C, S, O)

PROCESS

- Participants are selected from a representative sample of employees. These representatives meet on a regular recurring schedule to discuss current topics of interest and to provide ongoing feedback to executive management. Field commands have local meetings and bring departmental issues to the advisory groups.

OPTIONS

- Representatives may be elected by their peers or chosen by management.
- Suggestions may be made in writing by management and sent to the advisory group.
- Employees may give formal presentations to the advisory groups on complex matters.
- Representatives may be included in upper management meetings.
- Teleconference, videoconference or other electronic methods could be used to make presentations.

USES

- Providing feedback on current organizational executive actions, departmental training, policy and developments.
- Encouraging suggestions.
- Resolving questions, complaints and problems.
- Testing new ideas and equipment.

ADVANTAGES

- Provides in-depth feedback that allows questioning and discussion.
- Provides forum for ongoing evaluation and developments of major programs and/or equipment.
- Provides a clear and ongoing process for all employees to bring forth problems or suggest improvements and concerns.
- Generates employee interest and commitment.
- Lowers resistance to change.
- Creates an opportunity for employee to feel greater organizational access, understanding, and identification.

CONCERNS

- Mid-level management could feel threatened by the process.
- Certain individuals may see an opportunity to “grandstand” in front of executives.
- Representative may try to negotiate rather than communicate with executive management.
- Meetings may turn into gripe sessions.
- Management will ignore the feedback or take no action.
- Managers may press for the “quick fix.”
- Employee’s trust in management will diminish if they feel management is not sincere.

WHEN IT WORKS

- When executive management is committed to the process and find it useful.
- When representatives are interested in honest and productive changes.

ANNUAL EMPLOYEE SURVEY (O)

PROCESS

- A printed survey is distributed annually to all employees. The survey measures areas such as job satisfaction, information flow, decision making practices, concern for people, influence and control, job challenge and reward, organization of work, emphasis on cooperation, climate, quality of supervision, and promotion process. Employees who respond remain anonymous. Once completed, the survey results are reviewed by the Chief and Management. Copies of the results are also made available for employees and possibly even the public to review. Based on the results, action plans are developed to work toward improving the organization. Each subsequent year, results are measured against the previous year.

OPTIONS

- Employees can be interviewed to determine their perception about the organization.
- Interviews can be conducted as well as the printed survey.
- Survey can be designed for and conducted by individual divisions, departments or units.
- Random sample of employees can be surveyed.
- Survey could be conducted on a less frequent basis, every two to three years.

USES

- Reinforcing the organizational culture.
- Facilitating organizational cultural change.
- Encouraging employee-management joint problem-solving efforts.
- Assessing the work environment, both problem areas and favorable areas.
- Providing feedback to managers and the organization.
- Providing results to compare to previous surveys.
- Providing baseline for future surveys.

ADVANTAGES

- Efforts required in responding are minimal.
- Anonymity of individual can result in honest expression of opinion or perception.
- Individual feels they have a voice in changing the organization.
- Areas for improvement can be identified and action plans can be developed.
- Yearly comparisons can provide a mechanism to measure progress and/or change.

CONCERNS

- Management may not consider negative reactions when their suggestions are not addressed.
- Employees may misinterpret survey questions, which may result in misleading responses.
- Survey population may be too large for all suggestions to be addressed.
- Lack of follow-up could lead to employee non-participation in the future.
- Confidentiality must be kept.
- Random sampling must ensure that individual not be sampled more than once every four years.

WHEN IT WORKS

- When confidentiality issues are clear before survey begins.
- When staff is available to ensure speedy, processing, dissemination and follow-up.
- When management has a long-term commitment to the process.
- When the group has agreed upon a set of goals to accomplish.

ANNUAL REPORTS (C, S, O)

PROCESS

- The department assembles an annual report at the end of every fiscal year. Every Division Commander receives statistical information from their respective Bureau and Unit Supervisors on their operational accomplishments, which is forwarded to the Chief. The Chief assembles the information together with a “State of the Department Message,” and compiles the Department’s annual report. The annual report is then submitted to the City Manager, Mayor, City Council members, and the public.

OPTIONS

- Department may produce a video on the annual report.
- Quarterly or Semi-annual Reports could also be prepared.

USES

- Providing feedback on the operational effectiveness of the department, its leadership, and plans for the coming year.
- Recording statistical data to identify specific trends so that planning and resources can be directed to deal with these areas.

ADVANTAGES

- Provides a standard reporting format for the city.
- Provides a good general overview of each facet of the past year’s activity.
- Produces a report that can be used to compare performance levels between years or between groups.
- Promotes teamwork and a sense of pride within the department and profession.

CONCERNS

- Success and accuracy of the report has career implications for staff personnel.
- Department may be open to public criticism based on information in the annual report.
- Management may abuse the interpretation of the data to present a more favorable situation.

WHEN IT WORKS

- When the data entered in the report is accurate.
- When management recognizes that sheer numbers do not necessarily reflect reality.
- When the report is used for the purpose it was intended: planning and performance evaluation.

AWARDS AND COMMENDATIONS (S, I, O)

PROCESS

- An employee is recognized for outstanding performance or meritorious service. Following established guidelines, their immediate supervisor documents the behavior and forwards a recommendation for special recognition through the chain of command to a Commendations Review Board where all nominations are screened before final recommendations are submitted to the Chief of Police. Letter of commendation, certificates, or plaques are awarded.

OPTIONS

- Criteria for the awards can be changed to fit the individual needs and concerns of the organization.
- Employees at all levels of the organization may submit nominations.
- Bonus or incentive pay is awarded for outstanding performance.
- Officer of the year award is given for meritorious service to community.
- Dinner awards (all expenses paid) are given for innovative ideas.

USES

- Identifying and recognizing meritorious service, outstanding achievement and innovative ideas.
- Establishing guidelines for positive desired behavior.

ADVANTAGES

- Provides management with feedback on employee positive behavior.
- Contributes to high morale in the work force.
- Improves police-community relations resulting from the public relations aspects of the awards process.
- Encourages employees to do good work by rewarding positive behavior.
- Encourages supervisors and other employees to watch for positive behavior to reward.

CONCERNS

- Managers may compromise the process by attempting to reward favorites as opposed to outstanding performance, thus undermining the positive benefits of the process.

WHEN IT WORKS

- When all levels of management from the line supervisor to the Chief of Police are involved in the process.
- When a clearly defined criteria is established to recognize outstanding achievements.
- When employees believe their efforts are being recognized and appreciated by management.
- When the award is seen as a sincere tribute.
- When employees receive immediate rewards for positive behavior.

BRAINSTORMING SESSIONS (S, O)

PROCESS

- Employees are encouraged to generate creative alternatives concerning group missions, specific objectives, or problem solutions. Popular “creativity” techniques may be used. The primary focus is on idea generation as opposed to critique or analysis.

OPTIONS

- A variety of techniques can be used.
- Boundaries can be set before the process begins.

USES

- Encouraging innovative ideas.
- Providing recommendations or suggestions on specific topics.

ADVANTAGES

- Creates “synergy effect,” which may increase the quantity and quality of ideas.
- Produce side benefits that were often not originally anticipated.
- Permits participants freedom to explore alternatives without the usual concerns of looking “silly” or appearing unrealistic.
- Encourages innovation.

CONCERNS

- Process can lead to a series of “wild-goose chases.”
- Executives may sometimes see it as a waste of time.
- Participants may not understand the constraints involved in their proposals or suggestions.
- Expectations may be raised without leading to action.

WHEN IT WORKS

- When participants have the understanding required to make meaningful suggestions on the topic.
- When a rapid follow-up and action on implementation happens.
- When the process is managed by a trained facilitator.
- When the techniques used are at least “socially acceptable” in the organization.

BUDGET PROCESS (S, I, O)

PROCESS

- Information is obtained from managers, supervisors, and line personnel for the formation of the department's budget. Budget preparation meetings are held to establish priorities for the department. Three levels of input or meetings can be held: supervisors and employees (generally through submitted suggestions rather than formal meetings); division commanders and supervisors; and command staff. Budgetary and purchasing authority and responsibility is dispensed to division commanders.

OPTIONS

- Management can set priorities during regular staff meetings.
- Budget updates are provided to employees on a routine basis.
- Employee representatives provide input on budgetary status.

USES

- Determining department budgetary needs by balancing perceptions of all strata of employees.
- Evaluating programs through feedback from personnel actually engaged in the execution of programs.
- Setting priorities for budget and program implementation.

ADVANTAGES

- Allows employees the feeling of ownership in establishing departmental priorities.
- Gives management feedback to the needs of the department and value of programs being funded.
- Reduces complaints concerning lack of resources as employees had input into priority setting.
- Offers management input to aid in formation of long range planning.
- Offers managers insight into the perceptions of supervisors and rank and file staff.
- Provides managers and supervisors with authority to directly impact their areas of operations.
- Encourages creativity, innovation, and problem-solving throughout the organization.

CONCERNS

- Time requirements are expanded and additional layers of authority are implemented.
- Managers may become self-oriented or begrudge priorities that do not directly affect their areas.
- Employees may become displeased when unexpected priorities override the “game plan.”
- Checks and balances must be in place and monitored.

WHEN IT WORKS

- When employees are permitted input into the department budget and its priorities.
- When ineffective programs are eliminated, releasing funds for other priorities.
- When successful programs are identified and enhanced.
- When employees have pertinent information to furnish in the development of the goals and direction of the department.

CAREER DEVELOPMENT PROGRAM (C, S, I, O)

PROCESS

- A career development plan is prepared by an interested employee who receives counseling as needed or at least annually. The response for actually participating in the program rests with the employee. A trained Career Development Officer assists the employee in developing the correct plan. The employee's supervisor discusses the employee's performance strengths, limitations, and career objectives with the employee and the Career Development Officer. The employee is provided feedback on the feasibility of the career objective and training needs are identified. The employee assumes the primary role in managing their career, and the Career Development Officer is the key facilitator.

OPTIONS

- Career Development plans provided only to those employees interested in administrative advancement.
- Performance appraisal system used as a Career Development program.

USES

- Allowing employee concerns to be addressed on an individual basis.
- Providing employee with a forum to express their career concerns.
- Giving employees direct feedback on their career potential.
- Encouraging employee growth and development.
- Creating employee interest and commitment to the organization.

ADVANTAGES

- Improves morale of employees.
- Provides for better communication between line and staff personnel.
- Helps employees feel they work for an organization that truly cares about them.
- Promotes identity with the organization.
- Focuses on purpose of employee's involvement in the organization.
- Stimulates positive growth and develops both individual and organizational growth and maturity.

CONCERNS

- Employees may feel threatened by the process.
- Career expectations may create frustration when they are not achieved due to limited upward mobility.
- Confidentiality is necessary.

WHEN IT WORKS

- When employees are involved with their career goals.
- When employees trust management.
- When supervisors are properly trained in counseling and career planning.
- When management is committed to the growth and development of its employees.

CITIZEN COMPLAINT PROCEDURE (C, S, I, O)

PROCESS

- When a citizen feels they have been aggrieved by a member of the police department, they may make a formal complaint to any member of the police department. Information relating to a complaint shall be taken at any time either in person, in writing, or by phone by a supervisor. If the complaint is by phone or is submitted in writing, the complaint will not be considered filed until the complainant signs the Citizen Complaint Report. Upon receipt of the Citizen Complaint Report, the Chief or designated member of his immediate staff shall decide if a formal investigation is warranted. If it is decided that a formal investigation is not warranted, the complainant shall be notified of this decision and the basis for the determination. If the Chief or designated member of his immediate staff determines that a formal investigation should be conducted he shall assign the complaint for investigation to the appropriate supervisor. The complaints are handled in a prompt, just and timely fashion (usually 30 days or less). Complainants and/or their witnesses are protected by policy from adverse consequences for making a complaint. At the completion of the inquiry or the investigation, the supervisor sends a letter advising the complainant of the results of the inquiry.

OPTIONS

- Independent Police Auditor (IPA) is appointed by the city. Citizens file complaints with the IPA, the police department conducts the investigation, which is then audited by the IPA for objectivity.
- Civilian Review Board is an alternative to the citizen's complaint procedure. Citizens would review all complaints against the police.
- Another police agency may be requested to conduct the investigation to avoid the appearance of impropriety in specific cases.
- A specialist may be requested to resolve issues in unique situations (e.g., polygraph, psychological examinations, and employee assistance program).
- Chief of Police is not held to traditional methods of discipline such as reprimands, termination and suspensions. She may elect to use an employee assistance program or the department psychologist.

USES

- Improving employee conduct through corrective action.
- Serving as a training needs assessment.
- Providing feedback to police management on a police officer's performance.
- Opening lines of communication between the Chief of Police and citizens regarding policies or practices they believe to be unfair or inappropriate.

ADVANTAGES

- Provides citizens with a method to communicate perceptions and complaints directly to the Chief of Police or designated member of her immediate staff.
- Allows supervisors to be kept apprised of officer conduct and service delivery.
- Creates awareness where officers know they are accountable for the actions they take.
- Allows a department the opportunity to demonstrate its integrity.

CONCERNS

- Complainants may use the system to purposely abuse the police because of a grudge or an attempt to have a criminal charge against them dismissed.
- Managers may not properly screen complaints. Many times a person appears wanting to make a formal complaint when actually they are only ignorant of proper police procedures.
- Employees may feel abused or "put upon" for "only doing their job" if supervisors do not discreetly and thoroughly conduct investigations of misconduct.
- Citizens may get the impression that it does not do any good to complain to the very people who are the cause of the complaint.
- Complaints when not properly investigated can cause a heightened negative citizen reaction.

WHEN IT WORKS

- When citizens feel they have a voice and are listened to.
- When complaints are fully investigated and both citizen and police officer feel fairly treated.
- When officer error is involved, corrective action is immediate.
- When misunderstandings are immediately rectified with the complainant.

CITIZEN POLICE ACADEMY (C, S, O)

PROCESS

- The process begins with the establishment of a Citizen Police Academy. The Citizen Police Academy is advertised as a learning environment and applications are accepted. Special invitations may be extended to citizens new to politics or special interest groups. The Chief makes final selection and sends a formal letter of acceptance. Citizens attend as many as twelve weeks of training, consisting of three hours per week. Citizens are exposed to virtually all areas of the department through lecture, training films, and demonstrations. In limited circumstances ride along programs may be used. Graduation exercises are analogous to those of a regular police academy.

OPTIONS

- Command level officer(s) are available to accurately disseminate information and answer questions.
- Information source within the department and specific contact person for graduates is designated and accessible
- Command personnel are included during the training process for more personalized contact with citizens.

USES

- Providing academy graduates with a better understanding of the actions and needs of the police department.
- Enabling academy graduates to become conduits of information between the community and department.
- Encouraging graduates to become allies during the budgetary process and participate in purchase of needed capital equipment for the department.

ADVANTAGES

- Enables officers and academy students to learn to appreciate each other's actions and needs.
- Permits graduates to communicate the citizen's concerns and desires for enforcement to the department.
- Improves the entire communication process between the police department and the citizens.

CONCERNS

- Employees are apprehensive at the implementation of the first academy class.
- Graduates may appear to speak on behalf of the department.
- Graduates could become a time problem through constant requests for meetings with police officials.
- Graduates may expect information not available to the public.

WHEN IT WORKS

- When contacts between public and officers are improved and opportunities for positive contacts are increased.
- When academy graduates become ambassadors for the department.
- When the Chief of Police and the officers are committed to the program.

COMMUNICATION THROUGH AGREEMENT (S, O)

PROCESS

- This is a communication, goal, standard setting model. It involves brainstorming, rethinking of styles and the ability to envision what you believe is possible or desired. The written aspect involves putting everything into the present tense. You write everything to reflect that you are already doing it. This creates the expectation of success and puts you in the mind set that it is happening. The process involves meeting with each level of employee to establish individual unit, and departmental ideals, standards, expectations of behavior and direction. These are set for short and long term time frames.

OPTIONS

- Could be introduced at the administrative level only.
- Key people are trained from all levels to be trainers to spread out the work load and gain buy-in.

USES

- Establishing the culture of the organization. The manner in which the organization will do business and the direction it and its individuals will take.
- Creating a problem solving model for all levels of the organization.

ADVANTAGES

- Sets the tenor for work ethic, office culture, and behavior within the organization.
- Focuses the direction that the organization will take.
- Creates the values of the agency and the individuals and establishes acceptable limits.
- Opens all lines of communication by making the organization the focal point and not the individual.
- Promotes open communication leaving personality and position out of the discussions.

CONCERNS

- Administration has to live the standards that are established or it becomes just another “flash in the pan” administrative idea.
- Administration has to guard against individuals using the process to vent their discontent in a non-productive manner.

- Implementation and training could be a logistical problem depending on the size of the agency.

WHEN IT WORKS

- When a way of doing business that is not currently found in law enforcement is created.
- When a professional mission statement that includes behavioral standards rather than statistics or time worn goals is established.
- When top management is committed to make the process work.
- When employees are trained about the process and realize the benefits.

COMMUNITY AFFAIRS UNIT (C, S, I, O)

PROCESS

- A Community Affairs Unit is created and placed in the Department's Table of Organization, outside the chain of command. It reports directly to the Chief or one of his immediate staff members. The goal of the Unit is to bring the community and the Police Department together by reopening lines of failed communications, encouraging the citizens to participate in face to face, personal contacts and providing feedback necessary to maintain this dialogue. A partnership through the police and community is created reducing the complaints by many citizens of being "policed by strangers." Quality of life concerns, fear and general feelings of lack of respect and responsiveness to the public are reduced. The "let's work together" attitude is stressed with the result being a flow of information/intelligence from the citizenry through the Community Affairs Unit.

OPTIONS

- Citizen's Advisory Committee – members are either elected or appointed and serve as "problem identifiers and solvers" for the community.
- Neighborhood Watch Program – monthly meetings bring the members of the neighborhood together to discuss mutual concerns with their neighborhood officer.
- Community meetings held periodically with the Chief of Police and citizens.

USES

- Serving the community needs and acting as a liaison between the police and the citizens.
- Opening and maintaining lines of communication with the community in a responsible fashion.
- Alleviating tension, frustration and fear from citizens to fulfill the mandate, "To Protect and Serve."
- Listening and addressing complaints, including those concerning failures and shortcomings of the police department and its employees.
- Providing feedback on community issues in a timely and concerned manner.
- Serving as a troubleshooter and if something is wrong, getting it fixed even it means getting other city agencies involved.

ADVANTAGES

- Improves the relationship between citizens and police establishing mutual trust and respect.
- Taps into the tremendous potential of a police/community partnership.
- Encourages the free flow of information and intelligence from the eyes and ears of the community.
- Provides the public with the means of communicating with the police administration and beyond to city government.

CONCERNS

- Citizens might confuse their advisory function and overstep their boundaries.
- Management may not like the recommendations provided by the community.
- Complaints must be handled in a timely fashion.
- Confidentiality of communications containing sensitive information must be guaranteed.
- System may pose a threat for those who are not performing as expected.
- Unit's mission statement clearly states it is not a citizens' review board for police misconduct.
- Information from the public can be furnished in three forms: written, telephonic, and in person; however, feedback to the community should be done in person wherever possible.

WHEN IT WORKS

- When police department realizes they have a role in making communities a better place to live.
- When the police and members of the community have the patience to listen.
- When citizens believe they have a voice and suggestions are welcomed.
- When the department is responsive to the citizens and their needs as defined by them.

COMMUNITY TELEPHONIC SURVEY (C, S, I, O)

PROCESS

- A telephonic survey is conducted with members of the community who have had contact with police officers during the week. The survey is conducted informally on a weekly basis and is derived from information provided through the dispatch system. The list of contacts is called to respond to the question, “How did the Police Department respond to their needs?”

OPTIONS

- Survey is conducted via the department’s website.
- Mail the survey instead of using the telephone.
- Citizen questionnaire evaluating the contact and the department’s performance.

USES

- Developing training needs.
- Allowing easy efficient community input.
- Emphasizing positive performance.
- Reducing impact of negative behavior.
- Establishing a pre-problem warning system.
- Providing a policy assessment procedure.

ADVANTAGES

- Improves community relations.
- Provides direct uncensored communications.
- Shows that management is willing to put extra effort into seeking out and potentially rewarding good service.
- Enables management to identify and modify policies or practices that no longer meet community needs.

CONCERNS

- Employee fear of management finding out their misconduct.
- Time consuming.
- Management overreacting to a perception based on the “squeaky wheel” syndrome rather than a real problem.

WHEN IT WORKS

- When employees believe in and understand the process.
- When management recognizes and rewards positive behavior.
- When management does not overreact to negative information.

COMPUTER STATISTICS (COMPSTAT) (O)

PROCESS

- Computer generated statistics are used to target crime by showing where it is taking place by geographical area. At regular intervals commanders are questioned by senior management regarding the activities in their areas as determined through the computer mapping process. Commanders are expected to know details regarding all the crime, crime patterns, and emerging issues in their locale, and have a robust plan for dealing with them. The articulated plan(s) and its effectiveness is closely scrutinized at regularly scheduled meetings designed for just such a purpose. Strict accountability is the hallmark of the compstat system.

OPTIONS

- Using the regularly scheduled compstat meetings to recognize those officers deserving recognition from senior leaders as a part of the process.
- Representatives from the respective District Attorney's Offices, command personnel from the Board of Education and other outside agencies can attend the compstat meetings.

USES

- Mapping crime.
- Creating accountability through a strict and ongoing understanding of the location of criminal activity.
- Providing a comprehensive management strategy.
- Ensuring that precinct commanders remain aware of crime and quality of life conditions within their areas of responsibility.

ADVANTAGES

- Enhances accountability by providing local commanders with discretion and resources.
- Permits personnel at all levels to monitor and assess the effectiveness of their efforts and re-direct those efforts when necessary.
- Fosters a team approach to problem solving.
- Ensures that crime and quality of life problems identified can be quickly addressed through the development and implementation of creative and comprehensive solutions.
- Allows for immediate commitment of resources to address issues due to the presence of ranking decision-makers at the meetings.

CONCERNS

- By focusing heavily on the regularly scheduled compstat meeting within their area, commanders may lose focus on department wide concerns and become extremely territorial.
- That the compstat meetings turn into a destructive process where questioning becomes abusive.
- Aggressive enforcement of targeted areas only displaces those more likely to commit crimes from one community to another.

WHEN IT WORKS

- When commanders rigorously buy into the compstat process.
- When the department has enough resources to pursue the commander's developed plan.
- When the department has the technical resources to support the crime mapping process involved with the program.

DAILY REPORTS (C, S, O)

PROCESS

- At the completion of their tour of duty, field supervisors and watch commanders complete a daily report of significant activities that occurred during their tour. The reports are forwarded to the pertinent commanding officer for review and action.

OPTIONS

- Meetings may be held with superiors to explain activity and job related issues.

USES

- Appraising the chain of command of personnel matters, administrative problems or crime/service issues that arise during the tour.
- Disseminating information about criminal activity quickly and efficiently to all agency personnel at adjacent jurisdictions.
- Providing supervisors with information relevant to deployment strategies and assignment priorities.

ADVANTAGES

- Aids management in staffing, planning, and responding to employee and command concerns.
- Enables the chain of command to be kept informed of what is happening in their commands.
- Provides documentation to support the application of progressive discipline in dealing with problem employees.
- Gives the employee a chance to express his views to management and show his knowledge and insight in recognizing and offering solutions to problems.

CONCERNS

- Controls must exist to assure the confidentiality of these reports.
- Reports must be accurate and well written as they may constitute a public record subject to discovery in litigation.
- Applicable statutes may mandate that reports containing comments adverse to an employee be shown to the concerned employee prior to entry in a personnel file.
- Middle level management may feel they are being circumvented when a first line supervisor submits a log directly to upper management.

WHEN IT WORKS

- When management gives positive feedback on information.
- When data is correct and sufficient.
- When managers and supervisors use it in their decision making.

DESIGNATED DEVIL'S ADVOCATE (C, S, I, O)

PROCESS

- Several days before any scheduled staff meeting a Devil's Advocate is designated by the manager. This individual is expected to challenge all issues at the meeting with well-reasoned arguments. Other meeting attendees can approach the Devil's Advocate prior to the meeting to coach him on arguments to use or issues to raise.

OPTIONS

- Method can be used in any meeting where rational discussion of the issues can take place.

USES

- Encouraging open discussion.
- Improving the decision-making process by obtaining conflicting views.

ADVANTAGES

- Permits employees participation in decisions.
- Allows dissatisfaction and concerns to be discussed.
- Provides management with an inside view of the organization.
- Enables management to justify their decision in a professional manner.

CONCERNS

- Manager must be trained as a facilitator.
- Discussion should never degenerate into a personal attack.
- Discussion must be well-reasoned, not brainstorming.

WHEN IT WORKS

- When a policy or procedure is being considered.
- When employee dissatisfaction is present.

DIAL THE CHIEF (C, S)

PROCESS

- Two telephone message lines are available for the dissemination of information and for use of Department employees in expressing opinions, suggestions, and concerns to management. One message line is allocated to the Office of the Chief and the other to an Employee Relations Section. The Employee Relations Section line is used to provide information through a recorded message that the caller listens to after which they may leave any message or suggestion. As with the message line to the Chief's office, a message will be responded to personally if the caller identifies himself. Messages are also responded to through the Employee Relations Newsletter or through a subsequent recorded message as appropriate. The message line in the Office of the Chief is used exclusively to receive messages from employees. The Chief responds to the questions on an individual basis or responds through the Chief's Bulletin if the problem is of concern to a broad range of employees.

OPTIONS

- "Suggestion box" program can be utilized.

USES

- Receiving complaints, concerns and suggestions from employees.
- Resolving misunderstandings with employees.

ADVANTAGES

- Provides employees with an outlet or medium for the expression of opinions or concerns while maintaining anonymity if they so desire.
- Provides top management with information to gauge the mood, concerns, and reactions of employees on various issues.
- Defuses volatile situations, rumors, and misinformation or individual worries with accurate facts.
- Creates overall feeling of openness in the organization.
- Influences employees' attitudes and behavior.

CONCERNS

- Confidentiality must be maintained when callers identify themselves.
- Management must be prepared to react appropriately to information received, i.e. no retribution (whether real or perceived) against caller.
- Response to inquiries and issues must be timely.
- Content or recorded announcements must be carefully screened for accuracy.
- Recorded announcements to employees must be updated and kept current.

WHEN IT WORKS

- When employees know their opinions and suggestions are heard.
- When management is provided information to assist them in making good decisions.

ELECTRONIC MAIL (E-MAIL) (S, I)

PROCESS

- The Chief or one of his immediate staff members monitors the Chief's e-mail to maintain an ongoing dialogue with employees. Messages from the Chief's Office are sent on a regular basis to provide pertinent information to all employees.

OPTIONS

- In smaller departments the chief can answer his own e-mail.
- The use of a password protected web-site blog can also be used to pass information and can be used by a Department.

USES

- Providing an asynchronous communication system that lets individuals send unfiltered messages.
- Providing a simple and quick way to send administrative or policy information to all users and allow them to reply or acknowledge receipt.
- Keeping messages on hold for someone out of town or on another shift. The system notes the sender, date, and time of each message and displays all pending messages, and titles for easy review.

ADVANTAGES

- Avoids missed or incomplete messages or requests.
- Allows for rapid dissemination of information to all unit members.
- Facilitates information and idea exchanges between sections.
- Permits communication with multiple levels of management at one time.
- Allows for more efficient retrieval and storage of data.

CONCERNS

- Management may rely too much on this method of communication at the expense of personal face-to-face interaction.
- Some employees do not check their e-mail on a consistent basis.

WHEN IT WORKS

- When management is dedicated to the idea and uses the system consistently.
- When all employees regularly check their e-mail.

EMPLOYEE COUNCIL (C, S, I, O)

PROCESS

- A council of employees of all ranks, elected by their peers, that provides management with employee concerns, ideas, suggestions, and planning goals for the future. Management decides the number of members per rank, conducts an election where peers elect representatives by rank, and meetings are conducted with input presented to management.

OPTIONS

- Vary the level of management participation on the council.

USES

- Permitting employees to communicate with top management without the filters of the management hierarchy.
- Encouraging people closest to the problems to work on solutions.
- Allowing employees the opportunity to have input into management policy and decisions.

ADVANTAGES

- Gives the employee a method of direct upward communication to management.
- Allows the employee to feel like they are participating in management initiatives.
- Allows management to get a pulse on employee needs, perceptions and attitudes.
- Increases worker morale and esprit-de-corps through participation in decision making process.

CONCERNS

- Employee council will become a forum for airing grievances and complaints to management without constructive suggestions for change.
- Fear of management reprisals if suggestions are not made in harmony with management's perceptions.
- Politics may be involved in the election process.
- Employees' reactions to recommendations are not accepted by management.

WHEN IT WORKS

- When the employee is motivated to participate in the management process and having a say in matters affecting them.
- When management is committed to listen to employees and use their input in the decision making process.

EMPLOYEE EVALUATIONS (S, I, O)

PROCESS

- The supervisor evaluates each employee under his command and completes a performance evaluation form. During this process, a minimum of two meetings are conducted with the employee to measure employee performances against established standards. During the interviews the employee and supervisor discuss the evaluation and any problem areas and agreements reached on how to accomplish performance goals. If the employee is not satisfied with the final evaluation they can appeal to a higher authority. When differences are resolved and goals and behavior agreed upon, performance standards are established. A follow up interview is conducted within a specified period of time to evaluate goal attainment.

OPTIONS

- Employee and supervisor complete separate evaluations of employee's performance and then meet and develop a consensus performance evaluation.
- Recruits are evaluated one or more times in recruit training to determine if recruit enters the next phase of training.
- Number of formal face-to-face interviews between evaluations is increased.
- Monthly or quarterly evaluations are conducted.

USES

- Providing a means of evaluating employee job performance.
- Identifying positive (satisfactory) and negative (unsatisfactory) deviation from pre-established requirements.
- Assuring that employees are aware of their job responsibilities.
- Allowing employees to have a voice in their goals and standards.
- Forcing supervisors to be cognizant of subordinate's job related behavior and to record that information.
- Comparing past evaluations to present evaluations can identify decreased performance and potential burn out or other motivational problems.
- Assisting in promotional decisions.

ADVANTAGES

- Requires that supervisor and employee spend quality time discussing perceptions.
- Gives the employee an opportunity to participate in goals and objectives pertaining to employee's performance.
- Permits employee to write or state rebuttals to evaluation with which they do not agree.
- Resolves problems before they become serious.
- Identifies actual or potential performance problems.
- Provides a vehicle to address specific critical task training needs.

CONCERNS

- Performance appraisals take a lot of time to do well.
- Discretion is required on the supervisor's part as to what is important and gets written about their subordinate.
- Confidentiality is an issue.
- Rater bias, subjectivity and inconsistencies can skew the evaluation.
- Failure to consider employee's specialized talents to fulfill specialized needs of the organization.
- Evaluations can be used as rewards instead of for objective evaluation.
- Positive information must be emphasized, not only the negative.

WHEN IT WORKS

- When raters apply uniform standards for assigning scores.
- When the employee feels they have some control in achieving their goals and have the right and means to disagree.
- When deficiencies and/or serious problems are identified and corrected.
- When appropriate behavior is recognized and rewarded.
- When both upward and downward communication is present.

EXECUTIVE VISITS TO UNION MEETINGS (C, S, I, O)

PROCESS

- Members of Executive Management attend union meetings during which open discussions are held with union representatives and questions are fielded.

OPTIONS

- Management meets only with the executive leadership of the union.
- Management gives a structured presentation with no question and answer period.

USES

- Informing union of significant accomplishments and anticipated changes.
- Resolving misunderstanding before they become real problems.
- Recognizing the contributions of represented employees (work force).
- Soliciting suggestions and new ideas.

ADVANTAGES

- Provides executives with direct feedback.
- Generates feeling that management cares about the employee and their contributions to the organization.
- Allows executives to be seen as real people.
- Allows employees to see that there are mutual concerns and problems.

CONCERNS

- Middle managers may feel that the union gets more attention and support than they do.
- Executives are asked rude or embarrassing questions.
- Executives must have the training and talent to handle themselves when answering spontaneous questions.
- Union must truly represent the employees.

WHEN IT WORKS

- When motivated, skill executives are genuinely interested in labor peace.
- When the Chief designates adequate staff to ensure follow-through action is provided.
- When management and labor have common goals and objectives.

EXECUTIVES WORKING WEEKENDS WITH LINE OFFICERS (C, S, I, O)

PROCESS

- Executive administrators (Captain and above) are required to work Friday and Saturday nights on a rotating basis. Each administrator is assigned this duty one weekend in each ten week period. This assignment is titled, "Command Duty Officer." The Command Duty Officer is required to contact varied work stations to facilitate upward communication regarding concerns and/or ideas by junior and entry level personnel. This increased communication eliminates many misconceptions, rumors, and frustrations and enables the organization to function more productively.

OPTIONS

- Senior executives are required to work on different line jobs for a few days each year.

USES

- Encouraging management to be more responsive to concerns of lower level employees resulting in a reduction of conflict within the organization.

ADVANTAGES

- Enables the administration and lower level employees to develop more empathy for each others' responsibilities.
- Provides for more frequent contact between administration and workers who normally have little contact with each other.
- Provides lower level employees with an additional avenue to offer input into the department's operation.
- Assists administration in identifying topics of widespread concern within the organization.
- Provides job enrichment for administrators.

CONCERNS

- Administrators lose a work day to perform their normal duties.
- Supervisors and mid-level managers often view this as violating the chain of command.
- Confidentiality must be observed under certain circumstances.
- Executives may look foolish or incompetent.

WHEN IT WORKS

- When both the administration and lower level employees fully participate.
- When widespread concern exists about a single issue.
- When increased upward communication is desired.
- When the benefits of learning and developing empathy outweigh the cost of time.

EXIT INTERVIEWS (C, S, I, O)

PROCESS

- All employees who separate from the Department are required to meet with a staff member of the Psychological Services Unit for an exit interview. This interview is informal and centered around the following four topics: 1) reason(s) for leaving; 2) positive aspects/experiences with the Department; 3) negative aspects/experiences with the Department; and 4) suggested areas of change/improvement. This data is then collected in aggregate form and reported to the Chief and Command Staff on a quarterly basis.

OPTIONS

- Employee can be interviewed again after separation if follow-up is necessary.

USES

- Learning why employees are leaving the Department and what their feelings are about their work experiences.
- Providing the opportunity for a trend analysis that can point out areas of concern in current policy and provide input to decision making.

ADVANTAGES

- Provides the separating employee with a forum to comment candidly without the fear of retribution.
- Permits the employee to express any “emotional baggage” at the time of the interview.
- Allows aggregate data collected from interview to be available for trend analysis.
- Provides input information for better decision making.

CONCERNS

- Cost could be substantial to duplicate this process in a department that does not have a Psychological Services Unit.
- Commitment is needed by interviewer in order to maintain the integrity of the process.
- Confidentiality is an absolute must if candid feedback is expected.

WHEN IT WORKS

- When the separating employee comments about their work experience without the fear of retribution.
- When aggregate data is collected for trend analysis and possible changes.
- When information is provided to management for better decision making.

GRIEVANCE PROCEDURE (C)

PROCESS

- When an employee claims a violation, misinterpretation or misapplication of the rules or regulations of the Police Department affecting the terms and conditions of their employment, excluding disciplinary matters, an initial proceeding of presenting the grievance to the employee's immediate supervisor initiates the procedure. If satisfaction is not obtained, successive higher levels of appeal are initiated up to and including the Chief or impartial arbitrator.

OPTIONS

- Mediation could be used in place of arbitration.
- An Ombudsman could be used as a forum for employees to voice grievances.

USES

- Adjudicating grievances of members of the police department.
- Providing feedback on management's interpretation of an aggrieved matter.

ADVANTAGES

- Provides a means by which alleged wrongs may be reasonably and fairly resolved among department members.
- Encourages problems to be brought into the open so that management can learn about them and try corrective action.
- Identifies underlying problems, permitting management an opportunity to prevent others from arising.
- Prevents arbitrary and capricious management decisions.

CONCERNS

- Supervisors need to be well trained regarding this process.
- Arbitration can reduce management's flexibility and effectiveness.

WHEN IT WORKS

- When rules and procedures are clear and explicit.
- When management is committed to the process.
- When a sincere attempt to settle grievances equitably at the first level is desired.

INSPECTION PROCESS (C, S, I, O)

PROCESS

- Staff Inspections are conducted to insure an objective review of office facilities, property, equipment, personnel, and administrative and operational activities outside the normal supervisory and line inspection procedures. These inspections are conducted annually for each component of the organization. A written report with recommendations will be submitted to top management after the conclusion of the inspection.

OPTIONS

- Employ use of on-the-spot inspections in addition to formal ones.
- Line Inspection Program – three times annually a designated inspector inspects each division or department component soliciting feedback and compliance of standards.
- Process is part of the organizational development for managers.
- Human resource audits are used to review management’s policy toward employees.
- Personnel are assigned to an inspection’s team on a rotating basis.

USES

- Advising management of the effectiveness of the administrative handling of the law enforcement agency.
- Determining if policies, procedures and regulations are being performed as directed.
- Determining if the department is meeting its goals and objectives and, if not, “why?”
- Determining if both personnel and material are being utilized to the fullest extent.
- Identifying organizational strengths and weaknesses.
- Determining if personal integrity, training, morale, supervision or policies need to be corrected or improved.

ADVANTAGES

- Identifies potential problem areas and current issues in order to provide successful solutions.
- Opens lines of communication from the line officer to upper management.
- Ensures that policies are being executed in the spirit intended.

CONCERNS

- Inspections team is not properly trained.
- Employees will be hesitant to talk freely with inspection team because they fear retribution for “telling it like it is.”

WHEN IT WORKS

- When any problems identified are corrected.
- When the employee sees management is interested in what is happening at their level.
- When the organization benefits by the recognition of problems or potential problems before they cause harm.
- When the process is perceived as constructive rather than as retribution.

ISSUE PAPER (C, S, I, O)

PROCESS

- The issue paper is a written instrument of upward communications initiated by any employee via the chain of command to the agency head. The employee is responsible for researching all information and cost data, if applicable, in order to prepare the issue paper. The employee must be able to provide sufficient information to answer the following criteria:
 1. Issue/Problem (State the issue or problem)
 2. Alternative/Options (State two – five options that may be considered to solve the problem)
 3. Discussion (Discuss the options – pros and cons)
 4. Costs (What is the cost – if any?)
 5. Conclusion (Render a conclusion as to the available options)
 6. Recommendations (List your recommended option or alternative to resolve the problem)

Employee will receive feedback from the agency head as to outcome of their issue paper.

OPTIONS

- Issue paper could be used as a lateral communiqué to address issues outside the agency in other parts of the city government.

USES

- Encouraging upward communication.
- Addressing complaints, concerns, suggestions or innovative ideas.

ADVANTAGES

- Provides the employee an opportunity to participate in problem solving or having a new idea implemented.
- Provides the employee with self-satisfaction and personal development.
- Improves employee insight into management of the agency.
- Enables management to be in tune with problems perceived by the employees.

CONCERNS

- Employees may not submit an issue paper because of their reluctance to “write” or conduct any “research.”
- Time expended to write the issue paper.
- Time required reviewing the paper throughout the chain of command.
- Recommendations may be accepted, modified, rejected or held in abeyance by the chief.

WHEN IT WORKS

- When the employee gains self-satisfaction that they participated in problem solving and assisted management.
- When employees’ initiative to solve problems or submit ideas are documented in their performance evaluations.
- When organization is improved by implementing employees’ problem solving solutions or ideas.

LABOR MANAGEMENT COMMITTEE (C, S, O)

PROCESS

- The committee consists of the Chief of Police plus four additional management representatives and the President of the Police Union plus four additional union representatives. They meet at least once quarterly and discuss issues or changes which concern the Fraternal Order of Police or other union group issues. While the participants may vote, the Chief retains the ultimate authority to make decisions on police issues and union president retains the authority to make decisions on union issues.

OPTIONS

- Committee memberships designed to meet other organization structures and issues.
- Monthly meetings between police commanders and union representatives.
- Committee meets before a new policy or program is implemented to allow both sides of the issue to be heard.

USES

- Providing a means to bridge the gap between management directives and the language of contracts with the union.
- Providing a forum for both management and labor to voice their concerns and vent their frustrations.
- Providing management and labor an opportunity to discuss and review safety issues.

ADVANTAGES

- Provides a channel of communication to dispel rumors and provide legitimate information.
- Reduces resistance to change.
- Provides a mechanism to solve both anticipated and actual problems.
- Promotes labor/management cooperation.

CONCERNS

- Committee members must be committed to the process.
- Game playing or dishonesty will destroy the possibility of achievement.
- The chief and union president must restrain their egos and their perceived power in order for ideas to be exchanged freely.

WHEN IT WORKS

- When management's participation is credible.
- When participation is objective.
- When organization works toward a common goal.

LUNCH (DINING) WITH THE SHERIFF (C, S, I, O)

PROCESS

- A cross section of employees (five to ten) has breakfast (lunch, coffee) with the Chief of Police or members of his command staff. Any item of concern can be raised by any member of the department. The meeting is held informally thereby releasing tensions making the communication process easier.

OPTIONS

- Employees have the opportunity to talk to top management before or after breakfast or lunch.
- Dinner with the executive.
- Sessions may focus on certain topics.
- Summaries from the meetings may be documented and analyzed.
- Lunches may be scheduled for ten-year employee anniversaries.
- Lunch with participants who are attending training programs.

USES

- Providing feedback on the organization and its systems.
- Establishing informal relationships with a wide cross section of employees.
- Understanding individual employee concerns in some depth.
- Soliciting ideas or learning of problem areas.
- Eliminating unfounded rumors.

ADVANTAGES

- Provides executives with direct feedback.
- Permits employees to “spread the word” when they return to work.
- Allows executives time to ask questions and develop a dialogue.
- Teaches junior officers social skills, including interpersonal communication at functions.

CONCERNS

- Employees may feel intimidated by the setting.
- Interactions may be predominantly social and positive due to atmosphere.
- Confrontation may seem inappropriate over lunch.
- Executives may become bored with the process over time.

The Ethical, Character Driven Organization: Challenging Up and Supporting Down

- Employees seeking promotion may not be open with top management.
- Animosity may be created among upper most not included in the discussions.

WHEN IT WORKS

- When lower level employees are involved who do not have political agendas.
- When an executive can make people feel at ease in a short time.
- When a “hot topic” for discussion is addressed.

MAJOR INCIDENT CRITIQUE (S, O)

PROCESS

- Following each major incident, a review is conducted of both the incident and the agency's response. Persons involved in the incident discuss their actions and a clearer understanding of the facts is achieved. Procedures and policy affecting the incident are reviewed and changed if necessary.

OPTIONS

- Insights can be solicited from other law enforcement agencies.

USES

- Implementing training programs based on the lessons learned from the critique.
- Providing an opportunity to review policy, procedures, and employees' actions.

ADVANTAGES

- Identifies any need for additional training.
- Identifies any need for additional or different equipment.
- Provides a good review of departmental policies and procedures.
- Eliminates or reduces circulation of rumors among employees.
- Shows how the organization and management are responding to problems.

CONCERNS

- Employees perceive the process as a disciplinary tool.
- Taking a "hard look" can be embarrassing to those involved in the process.

WHEN IT WORKS

- When management learns from its mistakes and takes steps to correct negative behavior.
- When positive recognition is given to employees for good performance.

MANAGEMENT BY WANDERING AROUND (C, S, I, O)

PROCESS

- The Chief of Police or members of the Command Staff visit the various Precincts/Bureaus. Informal discussions with employees are then held at these locations. Some commanders actually “ride along” with patrol officers or detectives during a shift. Visits may occur during roll call, training programs or other similar activities.

OPTIONS

- Announcements to precincts/bureaus regarding date/time of visit could be made in advance.
- Questions and/or concerns could be written out in advance.
- Information seeking interviews could be conducted on an individual basis.

USES

- Identifying problems not originally apparent.
- Providing an opportunity for better understanding of employees’ complaints/problems.
- Providing opportunity to obtain suggestions for improving the different department functions.
- Obtaining feedback on the organization and management’s endeavors.

ADVANTAGES

- Demonstrates an involved management attitude to the employee.
- Enables direct communication between command personnel and officers.
- Allows for more open discussions.
- Enables better understanding of current practices in the field.
- Demonstrates that upper management cares about the employee and their opinions.

CONCERNS

- Employees may monopolize a large portion of the time promoting their own agendas.
- Complicated/sensitive issues may be expected to be addressed.
- Middle management may feel threatened and over-exposed.
- Time consuming.
- Executive should receive public speaking training on how to handle themselves when receiving spontaneous questions in front of groups.

WHEN IT WORKS

- When visits/"ride a longs" are performed on a regular basis.
- When schedules are designed that will ensure that no precinct/bureau is excluded.
- When informal and open setting is emphasized; however, intemperance is discouraged.
- When genuine follow-up is made on legitimate suggestions/problems.
- When management is informed of employee needs.

NEWSLETTER (C, S, I, O)

PROCESS

- The newsletter is a bi-weekly publication designed to keep personnel better informed on organizational issues. Questions are submitted by telephone, correspondence, e-mail, or via the internet. The questions are then directed to the person with the most knowledge concerning the issue. The questions and answers are published and distributed to the field.

OPTIONS

- Department wide news, union news, reports of promotion, and messages from top level managers could be included.
- Division or unit newsletter could be used.
- Union and management could produce a joint newsletter.
- Newsletter could be published on a less frequent basis.
- An organizational web-site could be used.

USES

- Diffusing rumors.
- Providing employees with current information on various issues.
- Providing feedback to management as to what is important to employees.
- Recognizing employee accomplishments.
- Encouraging employees to participate in departmental activities.
- Providing a medium to bring line officers and management into more constructive dialogue.

ADVANTAGES

- Gives employees a vehicle to express their concerns, complaints, suggestions and ideas.
- Improve organizational communication with the flow of information in both directions.
- Provides employee recognition on department wide basis.

CONCERNS

- Employees using the publication only to complain.
- Officials responding to questions can become defensive, evasive or rhetorical in their answers.

- Cost of publishing a bi-weekly publication needs to be considered.
- Newsletter can become a medium for management propaganda.

WHEN IT WORKS

- When employees submit questions in good taste dealing with current issues and not individual personalities.
- When management is receptive to suggestions, ideas and concerns.
- When management informs employees of necessary and valuable information pertaining to department policy and needs.

NOMINAL GROUP TECHNIQUE (O)

PROCESS

- A group representing all work units within the organization meets with the Division Chief. The group silently (in writing) generates a list of issues adversely affecting the work force. The individual lists are submitted anonymously to the group leader (not the Division Chief), and issues are written on a white board. Silently, the issues are individually prioritized by the participants and again submitted anonymously to the group leader (cards are shuffled to avoid identification of individual priority selections). The individual items are scored and weighted through averaging. The result is a prioritized list of issues of most concern to the general work force.

OPTIONS

- Process can be repeated for supervisory and management units. The division commander can compare the results for commonality of concerns. Management and supervisory units may benefit from making the same comparisons if the results are shared division wide.

USES

- Allowing management to identify areas of needed policy change, communication problems or weak supervisory/management performance.

ADVANTAGES

- Provides an opportunity to create win/win situations.
- Provides an opportunity to show management is willing to listen.
- Suggests that management believes that what employees think is valuable and worth knowing.
- Provides a technique that is completed in a short period of time and costs little in terms of direct expense and overtime.

CONCERNS

- Management's failure to act on information will greatly reduce interest and sincerity of the work force.
- Anonymity must be maintained for candid input and elimination of social pressure.

WHEN IT WORKS

- When management and the employees are committed to the process.
- When management is willing to listen, take action on suggested issues and provide feedback.

OMBUDSMAN (C)

PROCESS

- A volunteer acts as an independent fact finding element to resolve issues that are presented. Employees and managers within the organization and anyone outside the company can contact the Ombudsman by any means either anonymously and/or confidentiality to submit ideas, complaints, suggestions or merely sound out ideas. The Ombudsman receives the issues, researches them personally or under the authority of the head of the organization directs others to do so and makes recommendations to the head of the organization or to an appropriate decision maker. The organization head provides written feedback to the Ombudsman which is also provided to the originator of the issue either directly or through other public or private means.

OPTIONS

- Any informal method such as a telephone hotline or suggestion box wherein the employee has ready access to the appropriate decision maker.

USES

- Alleviating tension and/or frustration by those wishing to express themselves without the fear of retribution by the organization.

ADVANTAGES

- Encourages mid-level managers to maintain good lines of communication with subordinates.
- Reduces chances of intimidation for lower level employees.
- Provides a sounding board for ideas through an informal means of communication.
- Gives employees a feeling of worth and by having input into the overall management of the organization.

CONCERNS

- No one in the organization will volunteer for the position of ombudsman and the budget will not allow for hiring from the outside.
- Program representative must be knowledgeable of the administration of the department, and familiar with civilian employee and police employee bargaining units.

WHEN IT WORKS

- When managers freely associate with their subordinates and are open to employees using the ombudsman.
- When complaints that are made to the program representative are followed to reasonable and logical conclusions.
- When employees believe in the program and trust that their point of view is respected, appreciated and considered.

OPEN DOOR SYSTEM (C, S)

PROCESS

- Employees have an open line of communication or an open door where they can express their ideas, complaints, and/or any other subject that affect the person initiating the communication. This communication can be with the chief, the executive officer or any other supervisor within the organization.

OPTIONS

- Process completely open with no confidentiality.
- Process can be more informal.
- Process can include other high level managers rather than just the chief.
- Management could appoint an ombudsman to hear the information.

USES

- Handling complaints or concerns.
- Clearing up misunderstandings with employees.
- Providing appropriate feedback on the organization or individual managers.

ADVANTAGES

- Creates a climate where employees know they always have the right to express their concerns (even to top management).
- Provides the organization with information about areas where subordinates feel they are being treated unfairly.
- Provides unfiltered information to the senior level officers.
- Allows management to address employee concerns before they become formal grievances.
- Allows employees to bring their concerns, recommendations and suggestions directly to the chief without supervisory interference or distortion. They are able to get feedback from the chief, in some cases immediately.

CONCERNS

- Confidentiality should be maintained.
- Parallel, upward communication system may be necessary to protect employees from potential retribution (e.g., a confidential written system).
- Executive management time commitment may be extensive.

The Ethical, Character Driven Organization: Challenging Up and Supporting Down

- Managers at the lower level may feel threatened.
- Few records are maintained of the communication.

WHEN IT WORKS

- When employees see the results of their efforts.
- When employees trust the organization enough to believe they will not be punished for expressing their opinions.
- When managers are taught how to handle an open door policy (both first and second levels as well as executives).
- When grievances are minimized as complaints are resolved before being formalized.
- When management has accurate feedback as to the performance of its employees in meeting the organizational needs.

QUALITY CIRCLES (C, S, O)

PROCESS

- A team of employees from all levels and/or ranks who share common duties and volunteer are brought together to develop, discuss, and resolve pertinent issues facing the department. These meetings are on company time and have a leader. The problems and issues addressed are sent up the chain of command for consideration.

OPTIONS

- Issue driven quality circles are conducted than disbanded when the issue is resolved.
- Outside persons or union personnel can be involved.

USES

- Resolving conflicts
- Allowing employees a say in the organizational issues, problems, and goals.
- Encouraging and implementing innovative ideas from employees.

ADVANTAGES

- Allows the employee to have an effect on the management of the organization.
- Helps the organization to see problems as the employee sees and deals with these problems.
- Uses the expertise, education and talent of the department to address problems and issues.
- Strengthens lines of communication between the employees and management.
- Lowers resistance to change because those subject to the change are involved in the process.
- Allows employees to be directly involved in productivity enhancement and work-life improvement.

CONCERNS

- Supervisors may feel threatened.
- Quality circles can turn into gripe sessions.
- Participants may be reluctant to express opinions in the presence of supervisors.

WHEN IT WORKS

- When the employees work on the type of tasks where their input makes a meaningful difference.
- When union leadership agrees to support the process.
- When manager and employees are trained in implementing the process.

RECRUIT INTERVIEWS (C, S, I, O)

PROCESS

- New recruits are personally interviewed during their probationary period about their perceptions, opinions, and ambitions as police officers. Given preconceived notions and the unavoidable limitations of modern day police training methods, this process is based on the belief that new recruits may be best qualified to explain the similarities and differences between what is expected and how, in fact, it really is. The interview is conducted along with the use of a questionnaire covering a series of issues involving police work and some of its affects on the individual.

OPTIONS

- Follow up interviews (questionnaires) can be conducted with the group of police officers after three years of street experience.

USES

- Providing management with feedback regarding effectiveness of recruit training.
- Receiving viewpoints of newly appointed police officers.
- Encouraging suggestions.

ADVANTAGES

- Generates employee interest and commitment.
- Provides understanding for ongoing evaluation of recruit training and other major programs.
- Recognizes the importance of being sensitive to the needs and concerns of the employees.

CONCERNS

- Interviews may turn into gripe sessions.
- Mid-level management could feel threatened by the process.
- Recruits may be intimidated by the process.

WHEN IT WORKS

- When management and the employee are committed to the process.
- When genuine follow-up is made on legitimate suggestions and complaints.

RETREAT (C, S, I, O)

PROCESS

- A selected group from within the organization is brought together for a specified period of time in a location situated away from the worksite. The agenda and participants are carefully selected to ensure a free flow of information. A facilitator from outside the organization does the initial explanation of the process. The purpose is to discuss areas of concern of the organization. The process provides opportunities for formal presentations, group discussions, proposals and other communication issues. Attainable goals are agreed upon and prioritized. These are presented to the agency leader in written form to serve as a guide for the coming year.

OPTIONS

- Participants can raise issues that concern them through the process of complaints, suggestions and individual feedback.
- Civilian employee representatives could attend.
- Participants from outside entities to which the organization is accountable could attend.

USES

- Creating a problem solving team environment to resolve current problems.
- Promoting cooperation and teamwork through increased personal contact between managers and supervisors.
- Setting organizational goals while keeping within manpower and budgetary constraints.

ADVANTAGES

- Allows an open dialogue between participants.
- Prevents distraction and interruptions by physically removing the employee from the workplace.
- Provides insight and new perspectives from the use of the outside facilitator.

CONCERNS

- Group must be kept on track to prevent discussions of personalities or other non-productive matters.
- Department heads or participants may have hidden agendas.
- Follow up must occur to determine if action plans are functioning.

WHEN IT WORKS

- When participants have a sense of direction and purpose.
- When participants speak candidly and surface issues which will improve the organization's performance.

THE SKIP INTERVIEW PROCESS (I, O)

PROCESS

- The skip interview process is a method of allowing all employees the opportunity to meet with managers above their immediate supervisor and discuss any ideas, concerns and questions they may have about the organization, their immediate supervisor or other elements that affect the organization.

OPTIONS

- Managers conduct regular “shop walks” and meet with subordinate’s informally in the subordinate’s work environment.
- Organizations may utilize questionnaires instead of interviews.

USES

- Allows the employee the opportunity to express in confidentiality information, good or bad, about work related concerns to a higher level of management.

ADVANTAGES

- Provides middle and upper level manager the opportunity to meet in an informally structured interview setting with line and lower level managers to determine how supervisors below them are perceived by their subordinates, and to express their views on the overall health of the organization.
- Gives the line level employee a sense of ownership in the organization.
- Lets middle and upper managers meet with subordinates they do not immediately supervise and get to know them on a more personal and informal basis.

CONCERNS

- Middle managers may be threatened.
- Employees, working in concert, can abuse the process by providing inaccurate information about supervisors or working conditions if the interviewer is not willing to verify the information provided.

WHEN IT WORKS

- When subordinates become more familiar with managers on a personal level, thus decreasing the “we vs. them” perception of a seldom seen upper level manager.

The Ethical, Character Driven Organization: Challenging Up and Supporting Down

- When every employee gains ownership in the organization by being able to give input into the organization.
- When supervisors and managers come to better understand each subordinate on a personal level.
- When supervisors do not use the information to judge employees at any level.

STAFF MEETINGS (C, S, O)

PROCESS

- Each work unit in the department selects a representative to attend a regularly scheduled staff meeting. The agenda is planned, but open to new business. The representative volunteers to attend each meeting and share ideas, concerns and recommendations on individuals and organizational issues. The formal chain of command process is not recognized and all participants have an equal voice. The executive officer has final authority on implementing decisions when needed. Follow-up assignments are delegated to specific representatives based on issues being discussed and they are responsible for reporting back to the group at a later staff meeting.

OPTIONS

- Staff meetings will be open for observation by any interested member of the department.
- Meeting frequency and time may be varied to meet the needs of the organization.
- Member of the Union Executive Board attends all meetings in order to provide accurate information to management and to provide accurate feedback to union membership.

USES

- Providing systematic, scheduled communication between all levels in the organization while fostering the concept of “our” department.
- Providing a vehicle for rumor control.
- Allowing middle management to keep current on changes in policy and procedures.
- Allowing for cross flow of information between branches not normally connected in the chain of command.
- Providing a flow of accurate information to the Union Executive Board.

ADVANTAGES

- Establishes a sounding board on proposed policy issues, employee complaints or recommendations.
- Creates mutual trust and cooperative working relations as participants view the organization as a whole.
- Develops more awareness toward people issues, not organizational procedures.

- Allows for alterations to policies and programs before they are finalized.
- Provides for immediate feedback.

CONCERNS

- Agenda must be established for process to function properly.
- Confidentiality may not be maintained.
- Managers may attempt to over-control the meetings.
- Representatives may use the meetings for personal benefit and misrepresent their work unit's concerns or opinions.
- Staff participants could see union representatives as a threat.

WHEN IT WORKS

- When the participants surface both good and bad issues.
- When management encourages open exchange of ideas and concerns toward common organizational goals.
- When management is committed to the process.
- When decisions are made after sufficient information has been obtained.
- When union leadership is not forced into a confrontational mode.

SUGGESTIONS PROGRAM (S)

PROCESS

- The Suggestion Program is established for employees in an effort to encourage them to point out possible deficiencies in the system bringing viable, realistic ideas to the attention of supervisors and top management. When an employee makes a contribution thought to be beyond the scope of their job responsibility that significantly reduces costs or improves operations or services, cash awards may be granted.

OPTIONS

- Recognition in an agency publication given employee for a worthy suggestion.
- Submissions published anonymously and disseminated throughout the department.
- Ideas are solicited from employees when work related problems are identified on a “when the need arises” basis.
- Suggestions that pertain solely to the unit suggesting change are implemented without being approved by a staff meeting review process.

USES

- Encouraging and rewarding innovative ideas.
- Permitting an opportunity for employees to participate in job improvements.
- Providing feedback to upper management on employee morale and other areas of concern.
- Assisting planning units in identifying employee concerns or areas of deficiency.

ADVANTAGES

- Creates an incentive for innovation.
- Generates huge potential cost savings.
- Forces employees to write down and clarify their thoughts.
- Allows employees to become involved.
- Provides management with single source ideas.

CONCERNS

- Flood of relatively trivial suggestions may be produced that do not justify the costs.
- Rewards may go to the wrong people and actually alienate the true innovators.
- Formal and bureaucratic process may evolve.

The Ethical, Character Driven Organization: Challenging Up and Supporting Down

- Implementation may occur years after the suggestion (too late for the reward to be a motivator).
- Dollar value difficult to determine on many achievements.
- Over-recognition for one good idea and under-recognition for steady performance may occur.

WHEN IT WORKS

- When people get ongoing feedback on the progress of their suggestions.
- When good suggestions and rewards are well publicized.
- When poor suggestions are handled in courteous manner.
- When managers and employees are oriented to using the process in an appropriate and responsible manner.
- When the employee believes the department is interested in hearing their suggestion.

TASK FORCE (S, I, O)

PROCESS

- An employee group consisting of individuals of similar organizational rank is formed to investigate a certain topic or work on the solution of a perceived problem. The group usually develops a set of recommendations and these are presented to executive decision makers for action. Group members can be appointed or volunteer. Topics or problems are usually determined by the need of the organization.

OPTIONS

- Task force members can be employees with similar positions/backgrounds or a “diagonal slice” with a variety of positions/backgrounds.
- Task force can be given the power to actually make decisions and begin implementation.
- Task force submits status report to command staff at designated intervals to assess progress.
- Non-supervisory task force could be utilized for issues related to their purview.

USES

- Providing direct impact from all subordinate ranks.
- Recommending problem identification and/or solutions to decision makers.
- Generating new ideas or opportunities.
- Developing research and problem solving skills.
- Fostering organization cooperation.

ADVANTAGES

- Provides an in depth analysis of specific issues that may not be feasible with survey or interview techniques.
- Identifies key issues to enable decision makers’ time be more efficiently utilized.
- Develops a positive group “synergy effect” so that group recommendations may be superior to the summarized suggestions of individuals.
- Gives employees a voice in what affects their jobs.

CONCERNS

- Task force may be used as an excuse to avoid individual responsibility.
- Process may become extremely time consuming.
- Individuals may use the task force as a forum to advance their own political agendas.

The Ethical, Character Driven Organization: Challenging Up and Supporting Down

- Decision makers may disagree with task force recommendations and make members feel “used” or alienated (perceived as “token participants”).
- Issues brought forth could be handled by another more expedient method.
- Supervisors’ authority as a decision makers could be weakened.

WHEN IT WORKS

- When group members have the motivation, ability, and time to make a meaningful contribution.
- When both the organization and group members feel a sense of importance about the problem or situation.
- When decision makers are clear in advance about the amount of power and latitude given to the group.
- When the group has an agreed upon set of goals to accomplish.

TRAINING PROGRAM COMMITTEE (C, S, O)

PROCESS

- A working committee consisting of sworn and non-sworn personnel evaluates the training program to define training needs of the organization. This committee will also discuss training needs with individual personnel to determine their anticipated needs, ideas and concerns. Upon these assessments, the committee will prioritize the determined needs of both entities, categorize types of training suggested, investigate funding possibilities and develop a final report to recommend training for officers. This committee will also serve as a support staff to the Training Unit. This committee will continue its work addressing training needs that arise.

OPTIONS

- Standard test instruments could be utilized to determine the strengths and weaknesses of personnel to be used in establishing a training program. This would base training on empirical evidence rather than on personal perception.
- Questionnaires could be used to elicit perceived needs of personnel.
- A training officer could maintain the responsibility for the program utilizing the training committee as an advisory rather than a recommendation source.

USES

- Providing feedback on the organization's training program.
- Providing a system for identifying and fulfilling organizational and individual training needs.
- Decreasing the rate of manpower turnover for reasons of job dissatisfaction.
- Providing a medium for which input from all personnel levels share concerns and offer suggestions regarding training matters.
- Providing members to see the relativity of the budget process as it affects the organizational and individual needs and goals.

ADVANTAGES

- Permits employees to be directly involved in decisions that affect training.
- Permits committee members to assess organizational needs from the personal and the resource perspective.

The Ethical, Character Driven Organization: Challenging Up and Supporting Down

- Creates individuals who can perform research and planning for the organization's future needs.
- Reduces manpower turnover thereby reducing future training expenses.

CONCERNS

- Participants may be discouraged if the organization does not accept the recommendations.
- Supervisors may feel their authority is threatened by allowing active subordinate participation.
- Funding may not be available to support recommendations.
- Follow up might not be conducted to determine if training officers was effective.
- Implementation of the training could be delayed.
- Command level must be cognitive of the committee as a strong resource and research entity, not just an additional duty.
- Committee members must be replaced in a staggered manner so as not to delete the committee's efficiency.

WHEN IT WORKS

- When participants understand the boundaries of their input, but remain committed and loyal to the task.
- When organization members are candid with their evaluations, ideas and suggestions.
- When management receives the feedback and acts upon it.

UPWARD EVALUATIONS (I)

PROCESS

- Evaluation forms are given to each employee who reports to a particular manager. The evaluation forms are structured to solicit the employee's perception of the manager's job performance, leadership style and personal characteristics. The forms are submitted anonymously in a sealed envelope to an independent data collection center that "crunches" the data and returns a summary of the information to the evaluated individual.

OPTIONS

- Employees anonymously submit their evaluations directly to the manager for his review.
- Questionnaires and interviews could be used to solicit information.
- Follow up contacts could be conducted to clarify feedback and help develop action plans.
- Manager meets with her subordinates as a group and discusses the overall input from the evaluations reaching a consensus on manager's strengths and weaknesses.

USES

- Providing information that may be used as one element of assessing manager's performance.
- Providing feedback to the manager about her subordinates' perceptions of her overall performance.

ADVANTAGES

- Improves the manager's perception on how others see him in his supervisory role.
- Helps identify individual areas of strengths and areas for improvement.

CONCERNS

- Managers may not support the process thinking it gives subordinates too much power.
- Organization may use the negative information to sanction the manager rather than work on behavior modification to improve job performance.
- Employees will not be given adequate training and information on the reasons and use of upward evaluations, skewing information.
- All subordinates will not complete and submit evaluations thereby reducing the impact and value of the information presented to the manager.

- Employees may feel subtle pressure to provide only positive feedback.
- Care must be taken in providing feedback and developing individual action plans.

WHEN IT WORKS

- When the organization has an opportunity to assess its overall status and provide direction for improvement.
- When individual managers receive direct input on how they are perceived by others. This provides an opportunity to strengthen positive attributes, modify negative ones and improve individual effectiveness.
- When the process is designed by technically competent staff.
- When employees use the system to accurately rate the manager.
- When confidentiality is maintained.
- When variables are factored into the feedback given to the manager.
- When management has made a clear, long term commitment to employee feedback.
- When adequate time is given to development and implementation of action plans.
- When appropriate follow up is given.

VISITATION PROGRAM (O, I)

PROCESS

- A supervisor is assigned to visit another agency and observe the activity of that agency's supervisor(s). The visiting supervisor is exposed to other supervisors' techniques, learns about the other agency's use of the supervisory position, and compares procedures and policies. The visiting supervisor then returns to her agency and relates the experience to her administrators. New ideas and insights on the administration of the agency are considered for implementation.

OPTIONS

- Participation of other command staff members or other patrol officer levels.
- Formal written survey or summary provided.

USES

- Providing a training model for newly promoted or inexperienced supervisors.
- Generating ideas for application within the department.

ADVANTAGES

- Provides a pragmatic approach of exposing employees to job tasks and skills in a "real life" environment.
- Stimulates evaluation of agency through comparison with other law enforcement departments.
- Increases networking between law enforcement agencies.

CONCERNS

- Participants may see time as wasted or "play" time.
- Supervisors being observed may not be a good role model.

WHEN IT WORKS

- When inexperienced supervisor gains insight into his role in the agency, and/or a renewed appreciation for his department.
- When innovative ideas are passed upward to top management.

ABOUT THE AUTHORS

Richard M. Ayres is Director of the Center for Labor-Management Studies, 121 Hawks Nest Drive, Fredericksburg, Virginia (540.373.9670; e-mail: ayresclms@rcn.com); a management consulting firm specializing in ethical, character driven leadership, organizational and executive development, team building, labor-management relations, and other key areas of concern to today's law enforcement leaders. Formerly a Special Agent with the FBI, Mr. Ayres served for 17 years on the faculty of the FBI Academy, as an instructor and as Chief of the Management Science Unit, the precursor to the Leadership Development Institute.

David S. Corderman, PhD is a Senior Partner with the Academy Leadership Associates, LLC, a firm which provides leadership training and consulting services (540.899.2998; e-mail: dcorderman@alallc.us). When he retired from the FBI in 2007, Dr. Corderman was the Chief of the Leadership Development Institute at the FBI Academy where he was responsible for all the FBI's internal and external leadership training. Dr. Corderman earned his PhD from Virginia Polytechnic Institute and State University doing his research on using subordinate and peer feedback to improve leadership performance. Prior to joining the FBI, he served as an infantry officer in the U.S. Marine Corps.