

National Sheriffs' Institute

Agenda

Program Description

Module 1	Welcome and Introductions
Module 2	The Sheriff as Leader
Module 3	Defining Your Leadership Direction
Module 4	Self-Awareness
Module 5	Developing Your Executive Team
Module 6	Power, Influence and Conflict
Module 7	Ethics
Module 8	The External Environment and the Office of Sheriff
Module 9	Leading Change
Module 10	Leadership-Development Plan

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U.S. Department of Justice

National Institute of Corrections

National Sheriffs' Association

NATIONAL SHERIFFS' INSTITUTE

Monday		
8:00 am	Module 1: Welcome and Introductions	
9:30 am	Module 2: The Sheriff as Leader	
12:15 pm	Lunch & The Office of Sheriff and the NSA	
1:15 pm	Module 3: Defining Your Leadership Direction	
4:30 pm	Adjourn	
Tuesday		
8:00 am	Module 4: Self-Awareness	
12:00 pm	Lunch	
12:45 pm	NIC Information Center and Library Visit	
1:15 pm	Module 5: Developing Your Executive Team	
4:30 pm	Adjourn	
Wednesday		
8:00 am	Module 6: Power, Influence and Conflict	
12:00 pm	Lunch	
12:45 pm	Module 7: Ethics	
3:15 pm	NIC Overview	
4:30 pm	Adjourn	
Thursday		
8:00 am	Module 8: External Environment and Public Partnerships	
12:00 pm	Lunch	
12:45 pm	Module 8: External Environment and Public Partnerships	
1:30 pm	Module 9: Leading Change	
4:30 pm	Adjourn	

Friday		
8:00 am	Graduation Pictures	
8:30 am	Module 9: Leading Change	
12:00 pm	Lunch	
12:45 pm	Module 10: Leadership Development Plan	
4:00 pm	Graduation	
4:30 pm	Adjourn	

National Sheriffs' Institute

Program Description

Program Goal

The goal of the National Sheriffs' Institute (NSI) is to help enhance the ability of first-term sheriffs to be effective leaders.

Program Overview

The National Sheriffs' Institute is the only executive leadership program developed specifically for sheriffs. The NSI was first developed and presented in the early 1970s, with federal funding and through a partnership between the National Sheriffs' Association (NSA) and the University of Southern California. Since 1993, it has been housed in the National Institute of Corrections (NIC) Jails Division and cosponsored by NIC and NSA. Over the years, the program has changed significantly in response to the needs of first-term sheriffs.

All the leadership concepts are taught within the framework of the sheriff's experience, and what participants learn at the NSI should be directly applicable to challenges they face as first-term sheriffs. The program begins (Module 2) with a focus on the sheriff as leader, with the intent of demonstrating:

1. The range and complexity of the sheriff's role as a leader, and
2. Given this range and complexity, that it is critical that the sheriff be an effective leader.

This module continues with a definition of "effective leader" and strategies for developing a "followership" (the five practices of exemplary leadership). Both introduce the concept of vision (briefly defined as the sheriff's leadership direction). Module 3, then, further develops the concept of defining one's leadership direction as central to effective leadership. Concepts presented in all remaining modules are taught in the context of their relationship to effective leadership and the sheriff's ability to achieve his/her leadership direction.

At the end of each module, excluding "Welcome and Introductions," participants complete a self-assessment based on concepts presented during the module. The self-assessments form the basis for their end-of-program leadership development plan, which they present to a small group of their peers and a faculty member.

Target Audience

Up to 30 first-term sheriffs attend the NSI. They may attend almost any time during the first term, and some attend shortly before taking office. The audience is potentially widely diverse in terms of size of office, size of jurisdiction, character of jurisdiction, level of experience in law enforcement, level of experience in a sheriff's office, education, and general work background.

Experience with the NSI and the results of a 2003 needs assessment of first-term sheriffs show that most NSI participants:

- Are elected officials (very few sheriffs are appointed);
- Are from smaller communities;
- Have had some college experience;
- Have a broad range of exposure to management or leadership—from little or none to some with advanced degrees in management;
- Do not fully understand the range and complexity of the leadership responsibilities of the Office of Sheriff.

Program Agenda

[A program agenda is included in the instructor's manual.]

The program begins on Monday morning and ends the following Friday afternoon with graduation. Each day is a full classroom day. Each session begins at 7:50 am with announcements and the Pledge of Allegiance; session content begins at 8:00 a.m. and concludes by 5 p.m. There is also one mandatory evening session for the participants on the NSA and the Office of Sheriff. Participants are required to attend all classroom and evening sessions listed on the agenda and participate in graduation. Faculty are required to attend all classroom sessions and graduation.

Instructional Design

Instructional design is based on the Instructional Theory into Practice (ITIP) model. There is very little straight lecture in the NSI, and faculty are expected to be excellent facilitators to guide and draw out discussion in the group. With the exception of the first and last modules, each module has the following components:

- **Anticipatory Set**

This contains introductory material to help participants understand why the topic is important to them and, for the NSI, to their success as leaders. During the anticipatory set, the instructor also reviews the performance objectives, stating them as what the participants will do during the module (not as what the instructors will cover). The anticipatory set develops participant readiness to learn.

NSI Program Overview

➤ **Instructional Input**

This includes content or information. It presents the concepts or skills to be learned. As a general rule, there should be no more than 30-40 minutes of instructional input without an activity that requires participants to apply concepts taught.

➤ **Guided Practice**

This is an activity that requires participants to apply concepts or skills taught, with guidance from the instructor. The guided practice results in a product that demonstrates learning.

➤ **Independent Practice**

This is an activity that requires participants to individually apply concepts or skills taught, with minimal guidance from the instructor.

➤ **Self-Assessment**

Participants complete a self-assessment worksheet based on concepts presented in class. The self-assessments together form their leadership development plan, which becomes a valuable tool and reference for participants when they return home.

➤ **Closure and Evaluation**

This concludes the module. The instructor may briefly summarize concepts taught. The instructor also asks participants for any final questions. Module evaluation forms are then handed out by NIC staff, completed by participants, and collected by NIC staff. The lead faculty member for that module reviews and summarizes the results of each module's evaluations, checking for consistency with performance objectives.

Program Materials

NIC provides instructors with all program materials, including a manual of lesson plans, a copy of the participant manual, a copy of the participant Leadership Development Plan (LDP) booklet, PowerPoints, and DVDs. NIC also provides the computer, projector, and technical support necessary throughout the class. NIC also provides all participant materials, including a manual and a separate Leadership Development Plan booklet. The manual follows the lesson plans and includes all exercises. NSA staff provide participant lists and demographic information. In addition, NSA staff conduct the pre-program contacting of sheriffs, administer any necessary pre-program assessments, and summarize that information for instructor use in class. NIC and NSA staff work together to make food/lodging/transportation arrangements for class participants, and during class, for faculty.

Faculty Responsibilities

Faculty must familiarize themselves with all lesson plans, the participant manual, and the LDP so they have a strong sense of the overall program and the relationships among the modules. In addition, faculty members are hired for their professionalism. They are expected to elevate the level of discussion, to avoid use of foul language, to keep the group focused, and to create an atmosphere that draws out excellence in the participants. The role of faculty member is not as “friend” or “buddy” but as guide. In addition, faculty who are outside consultants are not to use the NSI as a vehicle for actively recruiting business.

Faculty are required to follow the lesson plans provided. Lesson plans are written in script form. Although faculty are not required to read this verbatim, they are required to cover all the material, in the order presented, and in the time allotted (each lesson plan component is given a timeframe). NIC does welcome and strongly encourages the instructors’ comments about program content and delivery. We will seriously consider all instructors’ comments as we refine the program before the next offering. [If faculty who are not teaching a particular module have something to add during a module, they must first defer to the instructor who is up front as well as keep any comments they add to a minimum so as to keep the class on schedule.]

All faculty are required to be present during all modules, participate in class discussions, and help facilitate small group exercises. The coaching component of the NSI is significant, and all faculty must be well-versed in executive coaching as well as facilitating.

Key moments for faculty are around the Case for Change homework and follow-up. There is often confusion about this continuing exercise, so faculty need to be well-grounded in an understanding of and purpose for the assignment. In addition, participants have a difficult time shifting from the specifics of their Case for Change in Module 9 to focusing on themselves and their personal development in Module 10. Faculty need to guide participants to help them make this shift.

In rare cases, there is a class member who is disrespectful, disruptive, or inconsistent in their attendance. These issues are referred to the NIC staff, NSA staff, and mentoring sheriff to deal with.

The Role of the Mentoring Sheriff

Each NSI has a mentoring sheriff. The mentoring sheriff brings both expertise and experience to the program. Through his/her own leadership presence and demeanor, the mentoring sheriff provides motivation and reinforcement for implementing leadership concepts and upholding the dignity of the Office of Sheriff. His/her presence is essential to

1) reinforcing the value of effective leadership practices and

NSI Program Overview

2) helping participants translate leadership concepts into practical application.

As with the faculty, the mentoring sheriff is expected to elevate the level of discussion, to avoid use of foul language, to help keep the group focused, and to create an atmosphere that draws out excellence in the participants.

Specifically, the mentoring sheriff:

- Is familiar with all components of the NSI curriculum;
- Is present for all program modules;
- Observes all small group activities and assists, as needed;
- Is available to all participants during breaks and meals for individual questions and discussions;
- Helps organize and facilitate the mandatory evening session;
- Assumes full responsibility for organizing participant discussion groups at mealtimes and after class;
- Helps faculty keep the leadership development focus in class by ensuring that there is time for management and specific operational issues to be discussed outside of class;
- In rare cases, there is a class member who is disrespectful, disruptive, or inconsistent in their attendance. The mentoring sheriff takes on the role, with NIC/NSA staff of helping the class member get back on track and behave differently, or of asking that person to leave the program.
- Helps the NSA staff organize the graduation;
- Is available to consult with individual participants as they create their end-of-program leadership development plans;
- Attends the graduation and may make a presentation, if asked;
- Provides feedback to NIC staff on program content and delivery.

Module Content

[Timing: Modules 1 and 2 are combined into one morning session; all other modules, with the exception of Module 9, take up either a morning or an afternoon; Module 9 spans an entire day: an afternoon and a morning session.]

MODULE 1: WELCOME AND INTRODUCTIONS
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This module provides an overview of the program, agenda, and materials and includes both program staff and participant introductions.

MODULE 2: THE SHERIFF AS LEADER

This module focuses on the significance and range of the sheriff's leadership responsibilities and, therefore, the importance of becoming an effective leader. Participants are given Jim Collins' definition of "effective leader" as one who "catalyzes commitment to and vigorous pursuit of a clear and compelling vision, stimulating higher performance standards." The module also presents Kouzes and Posner's five practices of exemplary leadership as strategies to encourage support for the leader and his vision.

Before coming to the NSI, participants complete the Leadership Practices Inventory. Program staff score the inventories and determine scoring norms for the class. During the module, participants review their scores and compare them to scoring norms. At the end of the module, participants complete a self-assessment related to effective leadership and the five practice of exemplary leadership.

Note that "vision" is mentioned in Collins' definition of "effective leader" and in the five practices of exemplary leadership. During this module, we do not define "vision" or discuss it in depth, since we do that in the next module. However, we do briefly note that vision is essentially where the sheriff wants to lead the office or the leadership direction.

There are references to Collins' definition of an effective leader and the five practices of exemplary leadership throughout the program. This module and the one following it provide the foundation for the program.

MODULE 3: DEFINING YOUR LEADERSHIP DIRECTION

This module focuses on the need for the sheriff to define his/her leadership direction. It builds on the pre-program assignment that asks participants to describe what they want their office to be by the end of their term (the "desired state"), the current strengths that support this, and the challenges that must be overcome to achieve the desired state. Essentially, the assignment asks them to begin to think about the *difference they want to make*.

It is important to note that, in the NSI, we focus on the phrase "leadership direction" instead of on "vision." We do this because there are a variety of definitions and interpretations of the term "vision," and it is not our purpose to debate its meaning or how it may be used by various leadership experts. We define "leadership direction" in this module and tell participants that, *for the purposes of this program*, we consider it synonymous with "vision."

Participants discuss the importance of setting their leadership direction and of creating a statement of leadership direction that: Is clear and easy to understand; Provides the focus for the organization's efforts; Provides the impetus for significant achievement; Is attainable within a given period of time, such as the sheriff's term of office; Can be supported by a plan for its achievement; Is compelling and inspiring.

NSI Program Overview

During the module, participants review a sample leadership-direction statement, meet in small groups to discuss their completed pre-program assignments, and draft a statement of their leadership direction. Participants receive information on “next steps” in defining leadership direction and developing a final leadership-direction statement. At the end of the module, participants complete a self-assessment based on concepts presented in class and develop a plan for improvement.

All other program topics are taught in the context of their relationship to the sheriff as an effective leader and the ability of the sheriff to achieve his leadership direction. This module and the one that precedes it provide the foundation for the program.

NOTE: The last 15 minutes of this module are set aside to explain a homework assignment. Participants are asked to complete a case for change related to their draft leadership direction. This will be the basis for their work in Module 9: Leading Change.

There is often confusion about this homework assignment, so faculty members need to be well-versed in the expectations to be able to guide participants effectively.

MODULE 4: SELF-AWARENESS

This module introduces the idea that, to be effective, a leader must understand his personality preferences and the effect of those preferences on his ability to lead. Participants complete the Myers-Briggs Type Indicator (MBTI®) before coming to class and are given their results during class. The instrument is discussed generally and several exercises help participants understand different personality dimensions and the applicability of this understanding to solving a leadership challenge. Finally, participants complete a self-assessment worksheet to develop strategies to enhance their leadership capabilities by using their strengths and compensating for their weaknesses, as identified by the MBTI®.

MODULE 5: DEVELOPING YOUR EXECUTIVE TEAM

This module briefly acknowledges the dual role of members of the sheriff’s executive team: 1) to provide expertise and leadership in a specific functional area and 2) to work as a team to develop, implement, and support the agency’s leadership direction. The module focuses on the second role and covers factors in determining if the sheriff has the right team members and elements of effective work teams. At the end of the module, participants assess their executive teams against concepts presented in class and develop a plan for improvement.

MODULE 6: POWER, INFLUENCE, AND CONFLICT

This module explores power, influence, and conflict and their relation to the Office of Sheriff, effective leadership, and the achievement of the sheriff's leadership direction. Participants complete the *Power Base Inventory*® to assess their own preferred style of influencing others, then focus on the six power bases and how each might be used effectively: Authority, Reward, Discipline, Information, Expertise, Goodwill.

Prior to the NSI, participants will have also completed the Thomas-Kilman Conflict Mode Instrument. They will receive their scores and reports during this module. Participants will also explore ways to effectively use five different "modes" for addressing conflict: Competing, Collaborating, Compromising, Avoiding, Accommodating, and create a plan for optimizing use of power bases and conflict modes.

At the end of the module, participants complete a self-assessment based on concepts presented in class and develop a plan for improvement. They also assess the strengths and weaknesses of executive team members related to use of power and develop a plan for improvement.

MODULE 7: ETHICS

This module focuses on ethics, including the effect of unethical behavior on the sheriff's ability to lead, an overview of ethics, and ethical challenges commonly faced by sheriffs due to the political nature of the Office of Sheriff and the power and authority the sheriff holds. At the end of the module, participants complete a self-assessment based on concepts presented during class and develop a plan for improvement.

MODULE 8: THE EXTERNAL ENVIRONMENT AND THE OFFICE OF SHERIFF

This module stresses the importance of understanding the external environment to the sheriff's ability to achieve his vision. Participants explore six external conditions that influence organizations and complete an exercise that allows them to preliminarily assess their knowledge of their external environment. The module then shifts the focus to public partnerships and covers stakeholder mapping, identification of critical stakeholders, steps in establishing partnerships with critical stakeholders, the partnership between the sheriff's office and the funding authority, and the partnership between the sheriff's office and the media. Also, one or media representatives conduct a discussion on strategies for improving the relationship between sheriffs and the media. At the end of the module, participants complete a self-assessment based on concepts presented in class and develop a plan for improvement.

MODULE 9: LEADING CHANGE

[This module spans two sessions—Thursday afternoon and Friday morning.] This module focuses on the three phases and two level of leading change and gives participants some specific strategies and tools for leading change within the sheriff's office. The three phases are: Preparing for Change, Implementing Change, and Sustaining Change. The two levels are: leading the change as a project and leading people through change. Participants discuss their case for change and a related change initiative (both completed before this module begins). All exercises in the module build on the change initiative each sheriff has identified. Participants also complete an instrument on leading change—Leading Change At Every Level. Finally, participants complete a self-assessment based on concepts presented in class and develop a plan for improvement.

MODULE 10: LEADERSHIP PLAN DEVELOPMENT

In this module, each participant creates his/her own personal leadership-development plan, based on the self assessments completed during the program. Participants discuss their leadership development plan with a small group, including an instructor and several of their peers.

Faculty play a key role here: participants will have to make the shift to focus on their own PERSONAL development in this module—which is always difficult for them to do. Their personal plan needs to be about what they will do personally to become a more effective leader—what skills do they need to work on? What did they learn from their “challenges” in each module and how can they become more effective in those areas?

GRADUATION

All sheriffs who participate in and complete the NSI will graduate from the course on Friday afternoon, and receive a diploma. NIC staff, NSA staff, and Faculty each are given an opportunity to make a brief final comment of encouragement/challenge to the class.

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Lesson Plan



Initiative: Leadership NSI	
Program: National Sheriffs' Institute	
Module 1: Welcome, Introductions, Institute Overview	Time: 1 hour

Overview

This module provides an introduction to the program, including:

- Overview of program: purpose, agenda, materials
- Introduction of program staff and participants
- Setting program and participant expectations
- Participant identification of significant challenges and accomplishments as first-term sheriffs

Note: this module needs to stay to ONE hour in order to keep on schedule for the day!

Module Objectives

In this module participants will

- Identify the most significant challenge and most significant accomplishments as first-time sheriffs
- Set expectations for the program

Preparation

- Participant materials on tables—including table Name Cards, Participant Manuals, Leadership Development Plan workbooks
- Chart/easel stands with paper for each table and one chart/easel stand with paper for instructor
- Markers (dark colors) for each table
- Create chart with questions for small group activity
- Create chart to illustrate how challenges/accomplishments should be recorded

Development Date: August 29, 2005
Revised: July 7, 2006; March 25, 2009; August 18, 2009; March 4, 2010, March 9, 2012, January 2015; May, 2015

PRESENTATION GUIDE	FACULTY NOTES
Welcome and Introduction of Sponsoring Organizations: 5 minutes Good evening. I'd like to welcome all of you to Colorado, to the National Institute of Corrections, and to the give number session of the National Sheriffs' Institute. My name is give name, and I'm a give title with the NIC Jails Division. I'll be working with you throughout this program. We are very pleased to have all of you here this week. We know many of you have had a long day traveling to Colorado, so tonight, we want to just briefly introduce you to the program, to the program staff, and to each other. First, though, I want to introduce you to the organizations that sponsor the NSI. The National Sheriff's Association works in partnership with The National Institute of Corrections Jails Division to sponsor this training. While you are all familiar with the National Sheriff's Association, some of you might not know of the National Institute of Corrections. Ask: How many of you have received services from NIC? Response: Show of hands (probably a minority of participants) The National Institute of Corrections is a small federal agency that provides technical assistance, training, and information services to state and local corrections agencies. The divisions within NIC include Jails, Community Corrections, Prisons, Information Center, and the Academy. The Jails Division focuses on issues in local detention centers and conducts services that support sheriffs' efforts to improve their jails. And all our services are provided at no cost to you. All our staff have extensive experience working in jails and in sheriffs' offices, we work as colleagues with the people we serve. In the materials at your table you have a flyer with additional information about NIC and the services we provide. Both NIC and the National Sheriff's Association should be key resources for you during your term in office – you will have an opportunity to learn more about both this week. NSI overview The NSI is the only executive leadership-development program developed specifically for first-term sheriffs. We teach a variety of leadership concepts within the framework of your experience, and we	

Module 1 – Welcome and Introductions

hope that what we teach will have direct and practical application to the challenges you will face at home. Our goal is that, by the end of this program, you will have **enhanced your ability to be an effective leader**.

Throughout the program, we will give you information on leadership concepts, then ask you to apply these to situations often faced by sheriffs. You will then assess your own performance related to these concepts, identify areas for improvement, and develop strategies to achieve that improvement. At the end of the program, you'll put these assessments together in an overall plan to strengthen your leadership effectiveness.

Program Staff Introductions: 5 minutes

Note to instructor: Ask the NIC staff, NSA staff, and instructors to **briefly (less than one minute)** introduce themselves. Lead Faculty member points out that diversity of faculty backgrounds is on purpose.

Institute Overview: 5 minutes

Logistics

Note to instructor: Share the following information

Bus schedule for travel to the Academy

Impact of altitude

Importance of name badges for entry through Academy security

Agenda and Informal Discussion Groups

Let's walk through **the agenda**. Each day we will start the program promptly at 8 a.m. – but we'd like for you to be here by 7:50 for the pledge of allegiance and announcements. Note that tonight we will have an evening session to talk about the NSA and discuss pressing issues facing the Office of Sheriff. Tuesday through Thursday we will wrap up by 5 p.m. Friday, we will wrap up content by 3 p.m. followed by graduation—ending at 5.

Note to instructor: Walk through the agenda, sharing a brief overview of each module.

During class time our focus will be on **leadership concepts**. Recognizing that you, as first-term sheriffs, also face significant issues at the operational level, we are going to help you **form topic-specific groups for discussions outside of class**. To facilitate this, we have placed a poster for you to note issues you'd like to discuss. Before lunch and dinner each day our mentoring sheriff, Sheriff _____, will organize informal mealtime or evening discussions, or you can organize after-class

Module 1 – Welcome and Introductions

discussions on your own. That way, in-class time can remain focused on specific leadership development practices.

Materials

Let's walk through the **materials** you have in front of you. Your **Participant Manual** includes the agenda and a section for each module with activity instructions and worksheets. Make sure to write your name on your Manual and bring it with you each day.

You have a smaller booklet titled **Leadership Development Plan**. This contains the self-assessments you will complete at the end of each module, and forms for your final personal leadership development plan. We'll talk more about this booklet tomorrow.

Brief biographical sketches for all program staff are in your folder. In addition, you have information about altitude awareness, meals and Academy rules concerning smoking and cellphones/pagers. Please make sure to read through all of this information.

Participant Introductions: 35 minutes

When we asked participants from the last Institute to give us advice for the next group, they shared these three things:

- Get to know each other quickly
- Use your mentor Sherriff
- Be as open as possible and trust the process

We're going to help you with that first piece of advice now by asking you to **begin to get to know each other**, beginning with your table-mates

Note to instructor: Small Group Exercise

Purpose:

- Set a climate for participant engagement in the learning process
- Express concerns; note similarities
- Clarify expectations – concerns that will be addressed within the class and in outside information discussions
- Introduce model for small group exercises

Time: **15 minutes for group work**; 15 minutes for large group report-out
Instructor: Write these questions on chart paper and review with

Module 1 – Welcome and Introductions

participants.

Also: Create a chart to illustrate how the challenges/accomplishments should be recorded

Instructions:

1. Introduce yourselves to each other: name, agency/location, year you took office.
2. Share with each other your biggest challenge – what keeps you awake at night?
3. Share with each other your greatest accomplishment since becoming Sheriff.

Ask each group to select someone for each of the following roles (three different people)

- A **recorder** to list challenges and accomplishments on the chart pad
- A **timekeeper** to keep the group on schedule
- A **reporter** to report out the challenges, accomplishments.

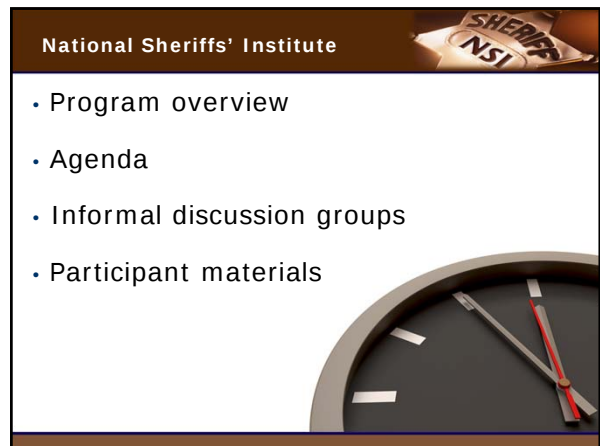
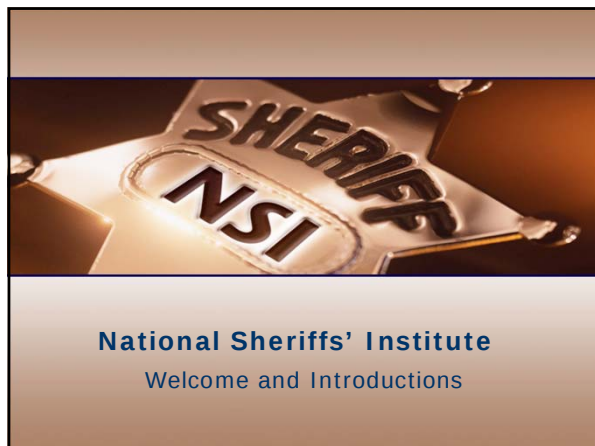
Ask for **report-outs** one table at a time. Prior sharing their information, ask Sheriffs at the table to introduce themselves – name and location. Have reporter share their challenges and accomplishments.

Facilitate: After all reports, point out 1) common themes in both challenges and accomplishments; 2) which of the challenges relate directly to leadership and will be addressed during the class; 2) which have more to do with operations. Let participants know that they will have a chance, if they wish, to discuss the latter group of challenges during informal discussion groups outside of class with their mentor and with each other.

Closing Questions and Remarks: 5 minutes

Note to instructor: Ask participants if they have **questions** and/or concerns to share about the week – the course or their stay in Aurora. Let them know the Program Staff is looking forward to the week together.

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Welcome and Introductions

Performance Objectives

- Meet fellow participants and begin networking.
- Identify the most significant challenge and most significant accomplishments as first-time sheriffs.
- Clarify expectations for the program.

National Sheriffs' Institute

The National Sheriffs' Institute (NSI) is the only executive leadership program developed specifically for sheriffs. All the leadership concepts are taught within the framework of your experience as sheriff, and what you learn here should be directly applicable to meeting the challenges you face at home.

This program is jointly sponsored by the National Institute of Corrections (NIC) and the National Sheriffs' Association (NSA).

Program Overview

- Agenda
- Informal discussion groups
- Participant materials
 - ✓ Participant manual
 - ✓ Leadership Development Plan

Participant Introductions

In your table groups share the following information with each other:

- Name, agency, and location, year you took office
- The single biggest challenge facing you as a first term sheriff
- Your single biggest accomplishment since you were elected or took office

Prepare to introduce your table to the rest of the class:

- Select a **recorder** who will document the challenges and accomplishments of group members on the chart pad.
- Select a **timekeeper** who will keep the group on time, making sure everyone gets an opportunity to introduce themselves and share their biggest challenge and greatest accomplishment.
- Select a **reporter** who will introduce the small group members to the large group and share the group's list of challenges and accomplishments.

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Lesson Plan



Initiative: Leadership NSI	
Program: National Sheriffs' Institute	
Module 2: The Sheriff as Leader	Time: 3 hours, including one 10-minute break

Overview

This module demonstrates the **significance and range of the sheriff's leadership responsibilities** and, therefore, the **importance of becoming an effective leader**.

As a part of this module participants will

- Discuss the range of the sheriff's leadership responsibilities
- Talk about what is meant by "effective leader."
- View a videotape that explains the five practices of exemplary leadership presented by Kouzes and Posner
- Give examples of each of the five practices of exemplary leadership from their own experience;
- Review their scores on the Leadership Practice Inventory.
- Assess their own practices related to the key concepts of effective leadership and the five exemplary practices.

Performance Objectives

After completing this module participants will be able to

- Explain the range and significance of the leadership responsibilities of the office of Sheriff.
- Describe Effective Leadership as defined by Jim Collins.
- Identify personal examples of each of Kouzes and Posner's five practices of exemplary leaders.

Preparation

- DVD: *Leadership Challenge Revised Edition Training Program* (5 practices of exemplary leadership - Kouzes and Posner)—be sure this is set up and audio is working.
- Copies of role play script for all instructors and program staff
- Practice role play prior to workshop at faculty/staff pre-meeting.
- Have props ready for role play set-up (desk, chairs, items for desk top). Review role of mentoring sheriff and any faculty-in-training prior to session.

Development Date: August 29, 2005

Revised: July 7, 2006; March 26, 2009;
March 4, 2010; January 29, 2015; May 2015.

PRESENTATION GUIDE	FACULTY NOTES
Introduction to NSI and Anticipatory Set (50 minutes) Performance objectives: 5 minutes As we’ve just said, the NSI is the only executive leadership program developed specifically for first-term sheriffs. This module is about the sheriff as a leader and what this means for you. After completing this module you will be able to . . . • Explain the range and significance of the leadership responsibilities of the office of Sheriff • Describe Effective Leadership as defined by Jim Collins. • Identify personal examples of each of Kouzes and Posner’s five practices of exemplary leaders Small group exercise: 45 minutes (Exercise set-up – 5 minutes, small group work –20 minutes, report and wrap-up –20 minutes) Leadership responsibilities - Office of Sheriff I’m going to divide you into 4 groups and give each group a statement about the Office of Sheriff. I’d like for you use the questions in your Participant Manual to guide your discussion about the implications of the statement for the sheriff to share with the large group. Use a chart pad to capture the main points of your report. Each group needs to choose a timekeeper, recorder, and spokesperson. (Count off by 4.) You’ll find the activity instructions on page (##) in your participant manual. Before you begin your work let’s briefly review each group’s assigned statement and related discussion questions – so that everyone has an overview of the range of statements and questions. Group 1 - THE POLITICAL OFFICE OF SHERIFF: In most jurisdictions, the Office of Sheriff is an elected position and a political office. • How does being an elected official (or politician) enhance your ability to lead? • How might being an elected official (or politician) present challenges to your ability to lead?	

Module 2 – The Sheriff as Leader

- What special expectations might be held of you as a leader in an elected office?
- As a politician, how might your party affiliation affect your ability to lead?

Group 2 – THE *INTERNAL FUNCTIONS OF THE SHERIFF’S OFFICE*: The Office of Sheriff is often responsible for a wide range of varying functions.

- What are the functions for which a sheriff’s office may be responsible?
- What do you need to know about each of the functions to effectively lead your organization?
- What challenges do the number and variety of functions you oversee pose for you as a leader?
- What level of demand on your time and effort will be placed on you to effectively lead these varying functions?

Group 3 – THE OFFICE OF SHERIFF *WITHIN THE LOCAL CRIMINAL JUSTICE SYSTEM*: The sheriff’s office is an integral part of the local criminal justice system, which includes the courts, other law enforcement and corrections agencies, the district attorney’s office, and the public defender’s office.

- What are some of the ways in which the policies and practices of the courts and other law enforcement and corrections agencies might affect the operations of the sheriff’s office?
- In what ways could the sheriff use his leadership role to ensure the separate components of the local criminal justice system work together to 1) increase the awareness of the effect of their policies and practices on other components and 2) identify and meet common criminal justice goals?
- How significant do you think the sheriff’s role as a leader is with regard to the local criminal justice system? What demands might this place on the sheriff’s time, efforts, and resources?

Group 4 – THE OFFICE OF SHERIFF AND *INTERACTIONS WITH COMMUNITY ORGANIZATIONS*: The Office of Sheriff is responsible for a wide variety of functions in the public service arena. Therefore, the sheriff must interact with various community organizations, such as the schools, hospitals, social service organizations,

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and civic organizations.

- What expectations might community groups have for the sheriff as a leader?
- In what ways can the sheriff use his leadership role to encourage community organizations to work with the sheriff's office to identify and achieve common goals?
- What demands might this place on the sheriff's time, efforts, and resources?
- How significant do you think the sheriff's role as a leader is with regard to community organizations? What demands might this place on the sheriff's time, efforts, and resources?

What questions do you have about this assignment?

You'll have **20 minutes** to complete this activity.

Note to instructor: Divide participants into 4 groups and assign statements, then direct each group to a breakout room. Assign one instructor to each group. As needed, this instructor should make sure the discussion stays focused on the significance of their leadership role related to their statement. Faculty facilitators – ensure everyone in the group gets a chance to talk. Guide the timekeeper to be the timekeeper!

This exercise is designed to help participants recognize that the Office of Sheriff has wide-ranging and complex leadership responsibilities that affect not only the sheriff's organization, but also the local criminal justice system and community. It is also designed to get them to think about how the political nature of the sheriff's office adds complexity to the sheriff's leadership role and may have advantages and disadvantages related to the ability to lead. **Therefore, it is critical that the sheriff be an effective leader.** The instructors who are assigned to the small groups as they complete this activity should be made aware of this purpose.

Listed below are some possible responses to the questions asked of the small groups. When each group reports out, put of the slide with their group's statement and questions to help keep them on track.

Group 1 – THE POLITICAL OFFICE OF SHERIFF: In most jurisdictions, the Office of Sheriff is an elected position and a political office.

Question: How does being an elected official (or politician) enhance

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your ability to lead?

Possible responses: Being elected by the majority of the voting population of my jurisdiction gives me support to pursue the goals I have for the sheriff's office; being elected gives me a platform from which to pursue my goals for the public good.

Question: How might being an elected official (or politician) present challenges to your ability to lead?

Possible responses: The public sometimes has a built-in suspicion of politicians and their motives, and I will have to work to gain their trust; I might be asked for favors from those who helped to get me elected, and these favors might conflict with my leadership ideals – therefore, those who are denied favors might undermine my efforts and credibility in the community. Decisions don't always align with party views – making decisions based on the right thing to do vs politics. Two hats: CEO of Sheriff's office; elected official. Always trying to balance the two

Question: What special expectations might be held of you as a leader in an elected office?

Possible responses: Will vary, but might include requests for favors, expectations for “paybacks,” a higher standard of leadership and integrity leading to being “under the microscope” all the time. Everyone wants you to fix THEIR problem. Trying to be everything to everyone. Expectations to push info: media/public want answers RIGHT NOW. What to put out and when to avoid the ‘no comment’ stand. If you don't say something they will say it for you; Held to higher standard. Hard to have a regular/human life b/c you are always under the microscope. Can't get a break, everyone knows you and wants to talk to you about something. Always scrutinized. 24/7 job.

Question: As a politician, how might your party affiliation affect your ability to lead?

Possible responses: It could create a lot of difficulty if most other public officials are not of my party; I may have difficulty influencing others who do not belong to my party; the nature of the campaign and election process (hostile or not) could affect my ability to implement my agenda; if my party is a majority in my jurisdiction, I might be able to implement my agenda more easily; Conflicts between local law enforcement and federal law, gun control, etc.; Expectations of constituents and law

Group 2 – THE INTERNAL FUNCTIONS OF THE SHERIFF'S

OFFICE: The Office of Sheriff is often responsible for a wide range of varying functions.

Question: What are the functions for which a sheriff's office may be responsible?

Possible responses: Law enforcement, detention, search and rescue,

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civil service, coroner duties, community corrections, animal control, drug task forces, 911 centers, jail operations, and other.

Question: What do you need to know about each of the functions to effectively lead your organization?

Possible responses: Need to know other agencies/stakeholders involved in each of the functions; need to know the boundaries of responsibility (which agency is responsible for what); Why are you doing that function; What's required – what are your parameters, what are the laws you have to follow; Need broad scope of knowledge – enough to evaluate whether you have the right person from your agency; Know key players

Question: What challenges do the number and variety of functions you oversee pose for you as a leader?

Possible responses: I have a lot to learn about the different functions so I can determine where they are now and how they might need to improve; staff in those functions I am not familiar with may question my ability; different functions may have different types of staff, requiring different considerations in my leadership approach with them; it will require strong leadership to support the differences, but at the same time ensure they are all aligned with my goals and agenda; Time management; Delegation; having the right person for the right job; Resource allocation

Question: What level of demand on your time and effort will be placed on you to effectively lead these varying functions?

Possible responses: Will vary, but the instructor should help the participants to see that directing his/her organization is a vital leadership role for the sheriff. Will need to have a strong support staff and be aware of others' skills and abilities in order to effectively delegate.

Group 3 – THE OFFICE OF SHERIFF WITHIN THE LOCAL CRIMINAL JUSTICE SYSTEM: The sheriff's office is an integral part of the local criminal justice system, which includes the courts, other law enforcement and corrections agencies, the district attorney's office, and the public defender's office.

Question: What are some of the ways in which the policies and practices of the courts and other law enforcement and corrections agencies might affect the operations of the sheriff's office?

Possible responses: The efficiency with which the courts process cases has an effect on how long people stay in my jail; the activities of other law enforcement agencies affects the number of people processed into my jail; probation revocation policies may affect my jail population; court practices may influence how actively we pursue certain offenses.

Question: In what ways could sheriffs use their leadership role to ensure the separate components of the local criminal justice system work

Module 2 – The Sheriff as Leader

together to 1) increase the awareness of the effect of their policies and practices on other components and 2) identify and meet common criminal justice goals?

Possible responses: May have to initiate the organization of meetings of local criminal justice officials, help ensure they have a well-defined purpose, and are ongoing and highly functional; may have to use my leadership influence to convince others in criminal justice and the community in general of the benefits of this; Criminal Justice Council – regular meetings to discuss ways to standardize procedures, share information, align policy; Legislative liaison

Question: How significant do you think the sheriff's role as a leader is with regard to the local criminal justice system? What demands might this place on the sheriff's time, efforts, and resources?

Possible responses: Instructor should help the participants to see that this is a vital leadership role for the sheriff. It will place significant demands on them if they intend to have a central role in the effective functioning of the system; Elected official; Overwhelming time demands

Group 4 – THE OFFICE OF SHERIFF AND INTERACTIONS WITH COMMUNITY ORGANIZATIONS: The Office of Sheriff is responsible for a wide variety of functions in the public service arena. Therefore, the sheriff must interact with various community organizations, such as the schools, hospitals, social service organizations, and civic organizations.

Question: What expectations might community groups have for the sheriff as leader?

Possible responses: Community groups expect the sheriff to speak at their functions regarding the role of his/her office in relation to their activities; expect the sheriff to provide specialized services to them, want the Sheriff to make an appearance at their functions; Make yourself accessible to the public – that is what we said we'd do; Sponsorship and funding; Sometimes they want a bit of your money to get their projects going; Public participation – electorate expects it

Question: In what ways can sheriffs use their leadership role to encourage community organizations to work with the sheriff's office to identify and achieve common goals?

Possible responses: Might take initiative to organize meetings with these groups to develop a strategy for working together to reach common goals; the sheriff might seek out partnerships with certain groups; the sheriff can use his public and political role to influence the community to support joint efforts to achieve common goals for the good of community members; Visibility; Cooperation and coordination with other law enforcement agencies in the county

Module 2 – The Sheriff as Leader

Question: How significant do you think the sheriff’s role as a leader is with regard to community organizations? What demands might this place on the sheriff’s time, efforts, and resources?

Possible responses: Will vary, will take significant time to build relationships, particularly with the media.

All instructors should note that “leadership,” for the purposes of this activity is not defined. Participants will complete the activity based on their general notions of what leadership is.

Note to instructor: As each group reports, comment on the presentation and ask the other participants if they have anything to add. **Facilitate the discussion of each report so participants conclude that the Office of Sheriff has wide-ranging and complex leadership responsibilities that affect not only the sheriff’s organization, but also the local criminal justice system and community.** Also note how the political nature of the office affects the sheriff’s role as a leader This will provide the link to the next section of this module.

As sheriff, each of you has a powerful leadership role. It is wide ranging and highly complex. Your leadership affects not only your own organization, but also your local criminal justice system and community. Your leadership goes to heart of public safety.

Given the significance of the leadership role inherent in the Office of Sheriff, your effectiveness as a leader is of paramount importance.

Instructional Input (70 minutes, including one 10-minute break during the input)

Lecture and large group discussion: 8 minutes
Definition of “effective leader”

There are many definitions of effective leadership, and many of them have similar components. But, for the purposes of the NSI, we are going to use the definition developed by Jim Collins. Jim Collins, formerly of the Stanford University Graduate School of Business, is now a highly respected private researcher in the field of leadership and management. He describes the effective leader as one who “catalyzes commitment to and vigorous pursuit of a clear and compelling vision, stimulating higher performance standards.”

Let’s look more closely at this definition. It clearly assumes there must be a vision, and we’ll talk about this more later. But for now, **let’s just say this means the leader must know where they want to take their**

Module 2 – The Sheriff as Leader

organization and any community entities for which they are responsible. It is the leader’s vision that sets the direction for those they lead.

Let’s look at the other elements of the statement.

- The vision must be **clear**.

Ask: What does “clear vision” mean to you?

Responses should include: a clear vision means that the vision statement means the same thing to anyone who reads it.

- The vision must be **compelling**.

Ask: What does the word ‘compel’ mean?

Responses should include: Convince, force, obligate

- The leader **catalyzes commitment to and vigorous pursuit of the vision**.

Ask: What does this mean to you?

Responses should include: motivates or energizes commitment; people are convinced of the need and motivated to do what it takes to move toward the vision.

- As a result of the commitment to and pursuit of the vision, the leader **stimulates higher performance standards**.

Ask: What does this mean to you?

Responses should include: When all are motivated to pursue the same vision and feel the support of their leader, they want to do the ‘right thing’, they want to continuously improve.

Ask: So your vision is doing what?

Responses should include: raising the bar, elevating performance of those who are under your supervision as well as those with whom you are aligning.

We can see that Collins’ definition focuses on vision and leaders’ ability to inspire others to follow them in the achievement of that vision.

Break: 10 minutes

Module 2 – The Sheriff as Leader

Large group exercise: 10 minutes (5 minutes for scenario, 5 to debrief)

Scenario: Sheriff's attempt to get support for vision

Note to instructor: Make sure all program staff have their scripts – conduct a practice session prior to the training. While participants are on break, set up a scenario where five program staff conduct a role play in which a newly-elected sheriff **demonstrates behavior that conflicts with the 5 practices**. Designate mentoring sheriff as the sheriff and the remaining staff as members of the sheriff's executive team (captains of patrol, detention, administration, and search and rescue units). The setting for the role play includes a table, behind which the sheriff is seated. The table serves as the sheriff's desk. The executive team is seated in chairs around the desk. The sheriff is conducting this meeting in an effort to get his executive team's support for his vision.

Scenario script: Sheriff's Attempt to Get Support for Vision

SHERIFF (*with feet on desk, speaks with some arrogance*): Well, it's great to finally be sitting here in this office. It's been a long, hard campaign, and I'm ready to get to work. Now that I'm sheriff, things are really going to change around here. As you all know, I made a promise to the voters that this office would be a lot more professional under my leadership. Is everybody clear on what I want to accomplish?

CAPTAIN OF SEARCH AND RESCUE: Sheriff, it would really help me if you gave us some more specifics on where you'd like to take the office.

SHERIFF (*quickly takes feet off desk, leans toward the search and rescue captain, and says impatiently*): What's to explain? I want everyone in this organization to think smart, act smart, and look smart!

CAPTAIN OF ADMINISTRATION: Well, I for one agree. Our image in the public could really use some improvement. I'd like to really spend some time talking with my staff and get their suggestions on how to increase the professionalism of our unit.

SHERIFF (*again demonstrating some impatience and anger*): I don't want you wasting your time asking every Tom, Dick, and Harry what they think we should do! This is not about what they think, this is about what I think, this is about what we need to do – this office needs to be more professional and that's that. As my executive team, you need to get out there and make some changes.

CAPTAIN OF THE JAIL: Well, I'd like to get out there and make some changes. What the jail really needs is additional training resources

Module 2 – The Sheriff as Leader

– we can't expect staff to think smart and act smart if they don't know what to do.

SHERIFF (*throws his hands up in frustration, tone of voice demonstrates that he cannot believe the jail captain would make a suggestion like this*): Training! That's the best you can do? Have you seen the budget? We don't have money for training. How do you think the public will feel if we all of a sudden start sending staff off on training junkets? We need to spend the money the way it's always been spent – on the nuts and bolts of our operations – patrol cars, the crime lab, SWAT...

CAPTAIN OF THE JAIL: That's my point. This office has never provided the jail with the resources it needs to perform professionally. We really need to focus attention on improving jail operations.

SHERIFF (*tone of voice demonstrates frustration*): The jail? The business of this office is really making the streets safe for the public - catching criminals and getting them off the street. I don't see that we need to be suddenly changing our direction and focusing on the jail. I mean, they're criminals, for God's sake.

CAPTAIN OF ADMINISTRATION: Can I go back to your comment that everyone needs to look smart? As the Captain of Administration, I can't help but notice that the civilian staff really don't look smart. There doesn't appear to be any dress code. In fact, I think that since these are the staff that the public sees when they come in the building, they should in uniform.

SHERIFF (*impatiently, with voice raised*): Have you been listening? We do not have the money for frivolous spending! This office has never provided civilian staff with uniforms, and we aren't about to start now. I don't think it's asking too much to just tell staff that they need to look smart. If they want to work here, they'll just have to work on improving their image.

CAPTAIN OF PATROL: Well, wait a minute. I have a problem with thinking that no one in this organization thinks smart, acts smart, or looks smart. Speaking for patrol, I think we're really doing a good job. Look at the honor guard – we've won the state championship three years in a row. I think that demonstrates how professional we are.

SHERIFF (*impatiently, with a tone that belittles the suggestion and the importance of the honor guard*): The honor guard is just a drop in the bucket as far as our image is concerned! You don't seriously think anyone really cares about the performance of four or five people out of the whole office. As I said at the beginning of this meeting, we need to

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be focused on professionalism.

CAPTAIN OF SEARCH AND RESCUE: I don't know. I've been sitting here listening, and I'm not sure I agree. I think our focus should really be on improving our use of technology – that's what will really help the office get on the map.

SHERIFF (*rudely and impatiently*): Look – I'm the sheriff. Who won the election – you or me? There are changes **I (*fist on table*)** want, promises **I (*fist on table*)** made to the voters. I've defined **my (*fist on table*)** vision, **my** direction for **my (*fist on table*)** office - you all need to make up your minds right away – are you on the train or off the train? I want each of you to come back to our meeting next week with a list of ways that you plan to make sure your unit is more professional – and don't forget the budget! (*Waves his hand to dismiss his team, leans back in his chair,*

puts his feet on the desk, and shakes his head in annoyance at the discussion)

Note to instructor: After the role play is completed, briefly discuss it with the participants by asking the following questions.

Ask: If you were a member of this sheriff's executive team, what level of commitment would you feel about working on the direction he is setting? Why?

Responses will likely include: Not much; it's hard to tell what his vision is; he's not clear about his expectations; he belittles staff so I would expect criticism no matter what I do; my ideas will not be valued.

We agree, then, that this sheriff won't be much of a leader, because he's going to have a tough time getting any followers.

Video: 25 minutes

The 5 practices of exemplary leadership

If making demands and pounding fists doesn't get staff support, what does? We're going to explore the five practices of exemplary leadership as defined by Jim Kouzes and Barry Posner in their book titled *The Leadership Challenge*, practices essential to getting the active support of those you lead. . The book, a classic in the field of leadership, is based on extensive research of leaders at all levels in both the public and private sectors.

We're going to show you a 25-minute video in which Kouzes and Posner identify and explain the five practices. As you watch and listen, use the

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note-taking guide in your Participant Manual to jot down one or two examples of something you have done as a leader that fits with each of the five practices. In some areas, you may have many examples. In others, you may not identify an example as easily. Think of your current leadership position or other situations in which you have had a leadership responsibility—in your professional or personal life. If you cannot think of an example of something you have done, consider something you have seen another leader do. We'll talk about these after the video.

Note to instructor:

Five practices of exemplary leadership (these are on laminated posters on training room walls.)

1. model the way
2. inspire a shared vision
3. challenge the process
4. enable others to act
5. encourage the heart

Input continued: 20 minutes

Large group discussion: 20 minutes

Video debrief and discussion of participant examples of the five practices

Note to instructor: Using the slides, review each of the five practices, including the behavior commitments under each. After each practice, ask participants to volunteer a few of the examples they noted during the video. Lead a discussion of each, focusing on if and how the example fits with the practice or how the behavior might be modified to better reflect the practice.

Debrief:

Model the way – what was the example in the video? (Troy—going first with new review process)

When you model the way – what are you trying to accomplish?

Commitment

Ask for 1-2 examples.

You want to foster this as a culture.

Inspire a Shared vision

Unless it is shared, does it matter?

What was the example in the video? (Kathy—Stanford Haas center and student team)

Ask for their examples.

Your vision is not just within your organization, it extends to your community. They own it in a different way.

It's not just an inspiring/inspired vision, it's the SHARING of it.

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Challenge the process

Video example: Patricia, Mt. Sinai Hospital. What were some examples of what Patricia did? (uniforms, décor, wait time)

She began with the opportunities to make progress.

What are some examples you have?

How willing are you, or where are you willing to take risks.

If you are encouraging risk-taking, be sure you are not ready to shut it down.

When you find a problem, how do you begin to think about what needs to happen to shift that in some way?

Enable others to act

Video – sometimes people think that leadership is about gaining more and more power. But K and P talk about giving power away, sharing power. Example of health care costs rising, leader (Steve) enabled the team to research and make suggestions.

What's an example from your domain when you have delegated the process and the authority?

Empower and enable others in the organization to take leadership

You are trying to forward/expand your leadership direction.

Encourage the Heart

The only one of the five for which they wrote a separate book is Encourage the Heart. Why do you think that is? It is one of the hardest things for leaders to stop and do. If you don't take the time to do this, you are missing a huge piece of what you need to do.

Video – FedEx Supervisor (Maurice): Why do we thank people for what we pay them to do?

What are some examples you have of recognition and celebration?

Recognition in front of peers sends a powerful message. This is a behavior we want to recognize.

When you discuss “envision the future,” make sure you briefly explain this as “**where they want to take their organization, their office**” or as “**what they want their office to be by the end of their term.**” This will begin the transition that will be made in the next module to a revised definition of “vision”: Vision = the sheriff's leadership direction. However, do not engage in a lengthy description or discussion of vision in this module.

Instructional Input: 15 minutes

Review of Leadership Practices Inventory and Activity: 15 minutes

Note to instructor: The participants completed the Leadership Practices Inventory before coming to the program. Program staff have scored the individual inventories and determined the scoring norms for the class.

Module 2 – The Sheriff as Leader

Program staff have also obtained information on norms for the scores in the general population.

Review the instrument with the class, then distribute the scores to the individual participants. Allow the participants a few minutes to review their scores, then present the slides showing the normative data on instrument scores, the class averages, and the individual scores. Tell the participants that, as they review their own scores, they should consider 1) if they are under the normative score in an area, what they need to do to improve or 2) if they are over the normative score, they may be doing something excessively and perhaps this should be tempered.

Look at where you are lower than the norm and where you are higher than the norm. Then we'll talk about what that means.

Ask if participants have any questions about the instrument or their results.

Can also be done as a 360 online at www.lpionline.com

A key concept of an effective leader is knowing yourself. Getting feedback from others can give you a more complete or a more accurate picture.

Where can you shift your approach, shift how you think about things . . . so that you can be a more effective leader.

Self Assessment (20 minutes)

Self Assessment: 20 minutes (5 minutes to explain the self-assessment, 15 minutes for participants to complete it)

For the next fifteen minutes you'll be working on your **self-assessment**, a process you'll complete at the end of each module. After you complete the worksheet you'll transfer information to your **Leadership Plan chart** regarding your greatest strength and your greatest challenge related to the concepts you just learned. At the end of the full program this chart will serve as the basis of your Leadership Development Plan.

Note to instructor: Direct participants to the self-assessment in their Leadership Development Plan booklet.

Give them 15 minutes to complete the assessment. Urge them to remain silent if they finish before the allotted time. If anyone should need additional time they can continue to work on it later. Remind them that

Module 2 – The Sheriff as Leader

the self-assessment is important to their growth/improvement their effectiveness as a leader.

Give them enough time to complete this self-assessment, especially since it is the first one.

Closure and Evaluation (10 minutes)

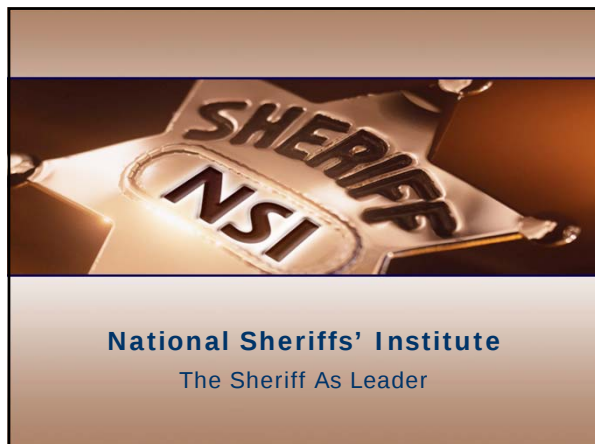
Transition to next module

During the next module, we'll focus on the importance of setting your leadership direction, and we'll work with the pre-program assignment you all completed.

Participant evaluation of module

At the end of each module we will ask you to give us your feedback on the evaluation feedback form. Your feedback, both the numerical ratings and your written comments, will help us determine ways to enhance the program and materials for the next class. Take 5 minutes and then I will collect the forms.

Note to instructor: Clarify information requested for each section of the form. After 5 minutes, collect the evaluations.



Performance Objectives

- Explain the range and significance of the leadership responsibilities of the office of Sheriff.
- Describe Effective Leadership as defined by Jim Collins.
- Identify personal examples of each of Kouzes and Posner's five practices of exemplary leaders.

Small Group Exercise

- Read your group's assigned statement.
- Discuss responses to the questions.
- Develop a summary report.

Group 1: Political Office of Sheriff

In most jurisdictions, the Office of Sheriff is an elected position and a political office.

- How does being an elected official (or politician) enhance your ability to lead?
- How might being an elected official (or politician) present challenges to your ability to lead?
- What special expectations might be held of you as a leader in an elected office?
- As a politician, how might your party affiliation affect your ability to lead?

Group 2: Internal Functions of the Sheriff's Office

The Office of Sheriff is often responsible for a wide range of varying functions.

- What are the functions for which a sheriff's office may be responsible?
- What do you need to know about each of the functions to effectively lead your organization?
- What challenges do the number and variety of functions you oversee pose for you as a leader?
- What level of demand on your time and effort will be placed on you to effectively lead these varying functions?

Group 3: Office of Sheriff Within the Local Criminal Justice System

The sheriff's office is an integral part of the local criminal justice system.

- How might the policies and practices of other CJ components affect the operations of the sheriff's office?
- How could the sheriff use his leadership role to ensure the components of the local CJ system work together?
- How significant is the sheriff's role as a leader with regard to the local CJ system? What demands might this place on the sheriff's time, efforts, and resources?

Group 4: The Office of Sheriff and Interactions with Community Organizations



The Office of Sheriff is responsible for a wide variety of functions in the public service arena.

- What expectations might community groups have for the sheriff as a leader?
- How can the sheriff use his leadership role to encourage community organizations to work with the sheriff's office to identify and achieve common goals? What demands might this place on the sheriff's time, efforts, and resources?
- How significant is the sheriff's role as a leader with regard to community organizations? What demands might this place on the sheriff's time, efforts, and resources?

An Effective Leader is one who



"Catalyzes commitment to and vigorous pursuit of a clear and compelling vision, stimulating higher performance standards."

— Jim Collins



Elements of Collins' definition



The VISION must be

- clear
- compelling

The LEADER

- catalyzes commitment to and vigorous pursuit of the vision
- stimulates higher performance standards



5 Practices of Exemplary Leadership

The Leadership Challenge

Jim Kouzes and Barry Posner

The 5 Practices of Exemplary Leadership



Model the way

- Find your voice
- Set the example



The 5 Practices of Exemplary Leadership



Inspire a shared vision

- Envision the future
- Enlist others



The 5 Practices of Exemplary Leadership



Challenge the process

- Search for opportunities
- Experiment and take risks



The 5 Practices of Exemplary Leadership



Enable others to act

- Foster collaboration
- Strengthen others



The 5 Practices of Exemplary Leadership



Encourage the heart

- Recognize contributions
- Celebrate the values and victories



Leadership Practices Inventory



The Leadership Practices Inventory



- 30 behavior-based statements
- 5 independent leadership scales
- Significantly correlated with measures of
 - Leader credibility
 - Commitment
 - Teamwork and empowerment
 - Productivity
 - Performance and effectiveness
 - Reduced turnover and absenteeism



Model the Way Behaviors



- Personal example
- Follow through: promises, commitments
- Efforts to adhere to agreed upon principles
- Clear leadership philosophy
- Consensus - common values
- Feedback

Inspire a Shared Vision Behaviors



- Higher meaning/purpose of our work
- 'Big picture'
- Future trends – impact on our work
- Common vision
- Compelling image of our future
- Appeal for sharing exciting dream of future

Challenge the Process Behaviors



- Search for innovation to improve
- Take risks
- Seek out challenging opportunities to learn
- Challenge others to innovate
- Set achievable goals, make concrete plans, establish measurable milestones
- Ask 'what can we learn?' when things don't go as expected

Enable Others to Act Behaviors



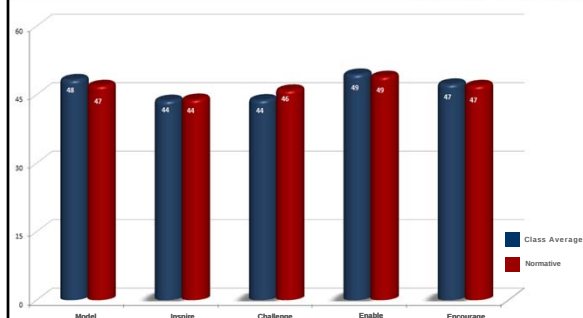
- Treat others with dignity and respect
- Develop cooperative relationships
- Search 'outside' for innovative ways
- Support independent decision-making
- Listen actively to varied perspectives
- Ensure that people grow in their jobs

Encourage the Heart Behaviors



- Show appreciation and support to team
- Express confidence in people's ability
- Creatively reward people for contributions
- Celebrate accomplishments
- Give praise for job well done
- Publicly recognize exemplary commitment to shared values

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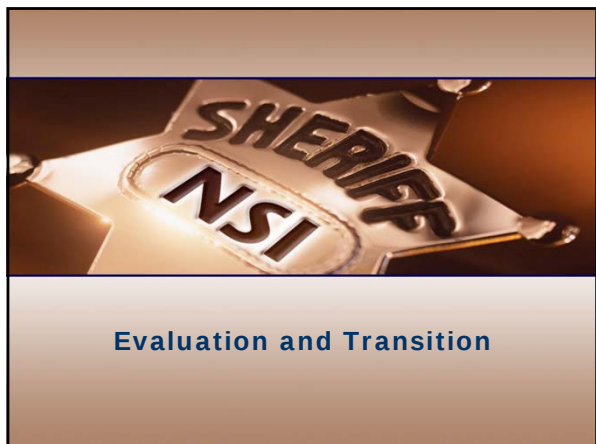


Self-Assessment Worksheet



- Complete at end of each module.
- Combine all at week's end for complete Leadership Development Plan.





Evaluation and Transition

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The Sheriff as Leader

Performance Objectives

- Explain the range and significance of the leadership responsibilities of the office of Sheriff.
- Describe Effective Leadership as defined by Jim Collins.
- Identify personal examples of each of Kouzes and Posner's five practices of exemplary leaders.

Small Group Exercise

Leadership Responsibilities of the Office of Sheriff

Read the statement assigned to your group and use the questions that follow to guide your discussion. Prepare a **brief** summary report to share with the large group. Put the main points of your report on a chart pad. Select a timekeeper, recorder and spokesperson for your work.

Group One: Political Office of Sheriff

In most jurisdictions, the Office of Sheriff is an **elected** position and a political office.

How does being an elected official (or politician) enhance your ability to lead?

How might being an elected official (or politician) present challenges to your ability to lead?

What special expectations might be held of you as a leader in an elected office?

As a politician, how might your party affiliation affect your ability to lead?

Group Two: Internal Functions of the Sheriff's Office

The Office of Sheriff is often responsible for a wide range of varying functions.

What are the functions for which the Office of Sheriff may be responsible?

What do you need to know about each of the functions to effectively lead your organization?

What challenges do the number and variety of functions you oversee pose for you as a leader?

What level of demand on your time and effort will be placed on you to effectively lead these varying functions?

Group Three: Office of Sheriff Within the Local Criminal Justice System

The sheriff's office is an integral part of the local criminal justice system.

How might the policies and practices of other criminal justice components affect the operations of the sheriff's office?

How could the sheriff use his leadership role to ensure the components of the local criminal justice system work together?

How significant is the sheriff's role as a leader with regard to the local criminal justice system? What demands might this place on the sheriff's time, efforts, and resources?

Group Four: The Office of Sheriff and Interactions with Community Organizations

The Office of Sheriff is responsible for a wide variety of functions in the public service arena.

What expectations might community groups have for the sheriff as a leader?

How can the sheriff use his leadership role to encourage community organizations to work with the sheriff's office to identify and achieve common goals? What demands might this place on the sheriff's time, efforts, and resources?

How significant is the sheriff's role as a leader with regard to community organizations? What demands might this place on the sheriff's time, efforts, and resources?

.....

Given the significance of the leadership role inherent in the Office of Sheriff, ***your effectiveness as a leader is of paramount importance.***

.....

An effective leader “catalyzes commitment to and vigorous pursuit of a clear and compelling vision, stimulating higher performance standards.”

– Jim Collins

Elements of Collins' Definition

- The vision must be **clear**.
- The vision must be **compelling**.
- The leader **catalyzes commitment to and vigorous pursuit of the vision**.
- As a result of commitment to and pursuit of the vision, the leader **stimulates higher performance standards**.

Large Group Exercise

If you were a member of this sheriff's executive team, what level of commitment would you feel about working on the direction he is setting?

Why?

The Five Practices of Exemplary Leadership

Video: *The Leadership Challenge* – Jim Kouzes and Barry Posner

As you watch the video, make notes about examples from your own experience that illustrate each of the practices

1. Model the way

- a. Find your voice
- b. Set the example

Examples from my experience:

2. Inspire a Shared Vision

- a. Envision the future
- b. Enlist others

Examples from my experience:

3. Challenge the Process

- a. Search for opportunities
- b. Experiment and take risks

Examples from my experience:

4. Enable Others to Act

- a. Foster collaboration
- b. Strengthen others

Examples from my experience:

5. Encourage the Heart

- a. Recognize contributions
- b. Celebrate the values and victories

Examples from my experience:

Model the Way Behaviors

- I set a personal example.
- I follow through on promises and commitments.
- I spend time/energy making certain people I work with adhere to principles/standards we have agreed on.
- I am clear about my philosophy of leadership.
- I build consensus around a common set of values.
- I ask for feedback.

Inspire a Shared Vision Behaviors

- I speak with genuine conviction about the higher meaning and purpose of our work.
- I paint the 'big picture' of what we aspire to accomplish.
- I talk about future trends that will influence how our work gets done.
- I show others how their long-term interests can be realized by enlisting in a common vision.
- I describe a compelling image of what our future could be like.
- I appeal to others to share an exciting dream of the future.

Challenge the Process Behaviors

- I search outside the formal boundaries of my organization for innovative ways to improve what we do.
- I experiment and take risks, even when there is a chance of failure.
- I seek out challenging opportunities that test my own skills and abilities.
- I challenge people to try out new and innovative ways to do their work.
- I make certain that we set achievable goals, make concrete plans and establish measurable milestone for the projects and programs that we work on.
- I ask 'what can we learn?' when things don't go as expected.

Enable Others to Act Behaviors

- I treat others with dignity and respect.
- I develop cooperative relationships among the people I work with.
- I search outside the formal boundaries of my organization for innovative ways to improve what we do.
- I support the decisions that people make on their own.
- I actively listen to diverse points of view.
- I ensure that people grow in their jobs by learning new skills and developing themselves.

Encourage the Heart Behaviors

- I give the members of the team lots of appreciation and support for their contributions.
- I make it a point to let people know about my confidence in their abilities.
- I make sure that people are creatively rewarded for their contributions to the success of our projects.
- I find ways to celebrate accomplishments.
- I praise people for a job well done.
- I publicly recognize people who exemplify commitment to shared values.

Self-Assessment

Complete the self-assessment exercise for Module 2 in your spiral-bound Leadership Development Plan (LDP). Remember to fill in

(A) Your greatest strength and

(B) Your biggest challenge

In the star under #2 in the back of your LDP.

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Lesson Plan



Initiative: Leadership NSI	
Program: National Sheriffs' Institute	
Module 3: Defining Your Leadership Direction	Time: 4 hours and 15 minutes, including two 10-minute breaks and one 5-minute break

Overview

This module focuses on the sheriff's need to define their leadership direction, which, in the NSI, is considered synonymous with "vision." It builds on the pre-program assignment that asks participants to describe how they want their organization and their community to be different as a result of their first term in office, with the current strengths and challenges related to achieving that difference. It includes:

- A brief discussion of the importance of establishing the leadership direction;
- A definition of "leadership direction" and "vision";
- A large group exercise in critiquing a leadership-direction statement;
- A small group sharing of the participants' completed pre-course work;
- A small group exercise on writing a leadership direction statement;
- A brief lecture and discussion on "next steps" in refining, communicating, and achieving the leadership direction and the importance of involving others in the process;
- An exercise in which individual participants assess their current status regarding defining and communicating their leadership direction.

This module, along the "The Sheriff as Leader," provides the foundation for the NSI. These modules are referenced in all others.

Performance Objectives

- Explain the meaning and purpose of "leadership direction".
- Draft a statement of leadership direction that meets the criteria presented.
- Identify likely challenges in pursuing the leadership direction.
- Describe the steps to take to refine the leadership direction and engage staff and community.

Instructor Preparation

- Multiple copies of each participant's pre-work for use in small group activity
- Supply of paper with large watermark "draft" for participant leadership statement drafts

Development Date: August 29, 2005
Revised: July 7, 2006; March 4, 2010,
August 17, 2010, January 30, 2015; May 2015

Module 3 – Defining Your Leadership Direction
PRESENTATION GUIDE

FACULTY NOTES

Anticipatory Set (15 minutes)

Note to instructor: In the NSI, we have chosen to focus on “leadership direction” instead of “vision” because “vision” has been defined and interpreted in a variety of ways by leadership experts and practitioners. If participants want to debate the definition of “vision,” the instructor should respond by simply acknowledging that there are a variety of definitions, each of which may be successfully used in a given organization. The instructor should stress, though, that *in the NSI*, we will consider “vision” synonymous with “leadership direction.”

In the absence of any questions raised by participants regarding vision, the term “vision” is briefly mentioned in this module only during the anticipatory set.

This morning, we talked about the sheriff as a leader, the breadth and complexity of your leadership role, and, given that, the critical need for your leadership to be effective. One of the first things an effective leader needs to do is **define and clearly communicate** their leadership direction. A leader leads somewhere—people follow a leader to a defined outcome.

Leadership direction is communicated through a future-oriented statement of where the organization is headed within a specific period of time. It should meet the following criteria:

- Be clear and easy to understand
- Provide the focus for the organization’s efforts
- Provide the impetus for significant achievement
- Be attainable within a given period of time, such as your term of office
- Be able to be supported by a plan for its achievement. Without a plan, the statement will have no meaning, and this will become quickly apparent to your staff.
- Be compelling and inspiring

Module 3 – Defining Your Leadership Direction

You'll recall that "vision" is an important part of the definition of an effective leader, and "Inspire a shared vision" is one of the five practices of exemplary leadership. Because "vision" has been defined in a variety of ways by management and leadership experts, and thus interpreted in a variety of ways by individual organizations, in the NSI we will use the term "**leadership direction**" instead of "vision."

It is important that you develop a statement of leadership direction, even if you already have a vision statement for your organization. It will serve as a practical tool to help you

- Establish yourself as a leader;
- Have a clear focus for your term in office;
- Enlist others in supporting and achieving your leadership direction;
- Make a difference for your organization and community!

Keep in mind that your leadership direction should be *attainable within your term in office*. If you attain this and are elected to a second term, you will define a new leadership direction—and set the bar even higher for your organization.

This morning, we acknowledged that the Office of Sheriff can be very powerful and influential—but without a clear direction, this power and influence can be wasted.

Ask: How might a clearly defined and communicated leadership direction benefit you, your organization, your staff, and your community?

Note: There is a whole page in the PM for participants to write their notes. Direct them to that page during this section and give them some time to write responses.

Note to instructor: Record the responses on a chart pad. If participants don't list all of these, you will need to supplement their list. Abbreviate or summarize these responses for the chart, checking with participants to make sure you correctly captured the meaning of their response.

- It would give me a focus for decision making/ would help me weigh decisions.
- It would help me and my staff set priorities for our work.
- It would help me and my staff set priorities for the use of our fiscal resources.

Module 3 – Defining Your Leadership Direction

- It would convey to citizens that they elected a sheriff who knows what needs to be done and intends to get it done—for the good of the community.
- It would be easier to engage citizen groups to work with the sheriff’s office to accomplish mutual goals, if what I want to ultimately achieve is clearly defined.
- Staff want to know what their leader stands for, and this would clarify that for them.
- Staff will be more motivated if they see the big picture—what they are accomplishing through their time, effort, and work.
- Staff will be more motivated to work well when they understand why they are doing what they are doing.

Clearly, establishing your leadership direction should be one of your first priorities.

During this module, we’ll talk about this in more detail. Let’s look at **our performance objectives**.

- Explain the meaning and purpose of “leadership direction”.
- Draft a statement of leadership direction that meets the criteria presented.
- Identify likely challenges in pursuing the leadership direction.
- Describe the steps to take to refine the leadership direction and get commitment from staff and community.

Instructional Input (135 minutes, including one 5-minute and one 10-minute break)

Lecture: 5 minutes

Defining your leadership direction

Before you arrived at the NSI, each of you completed a **pre-course assignment** where you described how you want your organization and your community to be different as the result of your first term in office. [**Have a sample to hold up to refresh their memories!**] This should represent an improvement over the current state of the office and community. We assume that, by the end of your term, you would like your staff and community to say that you made a difference, that your presence in the Office *mattered*.

Your description of the differences you want to make provides a *beginning point* for defining your leadership direction. It might take awhile to clearly define your direction. While this is the

Module 3 – Defining Your Leadership Direction

responsibility of the executive leader, it is important that you involve your executive team and others as you fully develop this. This will encourage them to join you in “owning” the leadership direction, will increase support for it, and will contribute greatly to your success in achieving it.

Large Group Exercise: 30 minutes

Critique of sample leadership-direction statement

We are going to look at an example of a pre-course assignment and a leadership direction statement based on the description of the desired state listed in the assignment. We will ask you to assess this leadership direction statement against the criteria we listed earlier.

Note to instructor: Give participants 5 minutes to review the following information in their participant manual.

As a result of my first term in office, I want my organization and my community to be different in the following ways:

My organization’s operations and services will be more effective. Sheriff’s office staff will work more as a team and with mutual respect among divisions.

The sheriff’s office will have active partnerships with other law enforcement and community service agencies. We will be more effective and we will decrease costs in achieving our mutual goals by sharing resources and reducing redundant services.

Strengths (personal, organizational, community) that support the differences I want to make:

The search and rescue staff are well trained and highly qualified. They have received a lot of publicity over the last year for three successful and dangerous rescue operations.

The heads of city and state law enforcement agencies in my community are eager to establish a healthy working relationship with the sheriff’s office, if I improve the quality of work in our patrol and jail divisions.

Two members of my executive team have experience with the community’s homeless shelter and the shelter for battered women.

I am very active in a variety of community groups. I have established relationships through these groups that will be valuable in helping me develop partnerships with community service agencies.

Module 3 – Defining Your Leadership Direction

Challenges (personal, organizational, community) to achieving the differences I want to make.

The patrol division has a reputation for poor response times, less-than-positive interactions with both perpetrators and victims, and sometimes shoddy crime-scene work.

The jail's physical plant and operations are below standard, and the jail poses significant and immediate safety risks to inmates, staff, and visitors.

There is competition and rivalry between the sheriff's office and the state police, and the former sheriff made this rivalry public. Relationships with city law enforcement agencies were lukewarm under the former sheriff.

The former sheriff operated in isolation from human service agencies and was not well respected by the heads of those agencies.

The former sheriff had an adversarial relationship with the county commissioners, which really hurt our ability to obtain adequate funding.

The sheriff's office budget has been reduced by 8% this fiscal year.

Although staff within divisions see themselves as a team, staff among divisions do not. Jail staff in particular—and their duties—are not understood or well-respected by staff in other divisions. The former sheriff gave very little attention or support to the jail, and the other divisions tended to follow his lead. Personally, I know very little about the jail.

Now, we will use the sheriff's description of the differences he wants to make as a foundation for a leadership direction statement. This is how it might look.

In support of a well-integrated community approach to improving public safety and quality of life, the Brown County Sheriff's Office will partner with other law enforcement and human service agencies to identify mutual goals and implement shared strategies to achieve those goals. The services of each division of the Office will conform to professional standards and will be delivered with competence and a clear commitment to public service. Finally, there will be strong team work and mutual respect among the divisions of the Sheriff's Office in the pursuit of enhanced public safety and quality of life.

Module 3 – Defining Your Leadership Direction

Note to instructor: Use the following questions to guide participants in assessing how well this statement meets the criteria you presented:

Ask: Are any parts of this statement unclear? If so, what needs to be clarified?

Responses will likely include: If anyone finds parts of it unclear, ask what needs to be clarified.

Ask: According to this statement, what are some of the specific things this sheriff hopes to accomplish?

Responses will likely include Support a community approach to improving public safety and quality of life; partner with other agencies to identify goals and strategies; provide services according to professional standards

Ask: How would you summarize the focus of the work of this sheriff's office? Take a moment and jot down two or three words.

Let's hear what you wrote.

Ask: How similar are your descriptions?

Note to instructor: the descriptions should be very similar, indicating clarity of focus.

Ask: What are some of the likely challenges the sheriff will face in achieving the differences he wants to make?

Responses should include: challenge to integrate, identify mutual goals, push-back against change/new standards, non-team players will see as a threat...

Ask: Considering these challenges, in what ways does this leadership direction statement provide *the impetus for significant achievement* in the work of the sheriff's office,

Responses should include: shows his/her commitment to teamwork, integrated services, professionalism, and standards—indisputable focus on quality and communication.

Ask: Considering these challenges, how likely is it that this leadership direction could be attained in the sheriff's first term?

Responses should include: Very possible, with a lot of work.

Module 3 – Defining Your Leadership Direction

Note to instructor: The following questions are intended only to determine if the leadership direction statement can be supported with a work-plan. There should be just enough discussion to determine this. Participants should NOT engage in a lengthy discussion of strategy, in this discussion or during the peer review. Development of the work-plan can only be done at home, with the sheriff and the Sheriff's staff.

Ask: What would the Sheriff need to do to begin developing a work plan? Who would the Sheriff need to involve?

Responses should include:

Yes, since sheriff has already outlined the challenges in the pre-course assignment, he/she can develop a work-plan to address those deficiencies. Will need to involve internal staff as well as external representatives from the other public safety organizations with whom he/she wants to coordinate.

Ask: What is compelling or inspiring about the statement?

Responses Will vary. But in what way?

It is very important that you develop a clear sense of your leadership direction, then use the criteria we have given you to write an effective statement of your leadership direction. You need to make sure the leadership direction is attainable—or, at least, that significant headway can be made in attaining it by the end of your term. Your leadership direction—and the statement that describes it—is the umbrella under which the activities of your office will be conducted.

Many times leadership direction statements are so general and lofty that they are meaningless and, ultimately, forgettable. They sound good, but they really do not provide a focus for staff efforts or for the specific improvements the sheriff wants to make. For example, we have seen statements that have said, “The Office of Sheriff will advance democratic values” or “The Sheriff’s Office will be the top law enforcement agency in the state.” On close examination, it is hard to determine what those statements mean or how their achievement could even be measured.

After the break, you’ll have an opportunity to talk more about the ideas that might form the basis for your leadership direction.

Break: 5 minutes (Participants go from their break to their break-out rooms)

Module 3 – Defining Your Leadership Direction

Small group exercise: 95 minutes, including one 10-minute break – NOTE, this may be shorter depending on how many are in each group.

Discussion of pre-program assignment

Note to instructor: Instructors should give participants a 10-minute break during this exercise.

Participants are evenly divided among instructors. There may be up to eight participants per group.

Each group goes to a breakout room, and each group's discussion is facilitated by an instructor. The purpose of this exercise is to help the participants think through and discuss the major elements of their leadership direction, using their pre-course assignment.

Just before the exercise, the instructor gives each participant enough copies of his/her pre-program assignment to share with the small group and its facilitator

Sometimes participants think of the differences they want to make in terms of very concrete “to do” items like building a new jail, increasing staff pay, and getting new uniforms. When this happens, the instructor should guide the participants to think in more global terms: what they want their office and community TO BE, instead of what they want TO DO. Many times, the concrete “to do” items they list can be part of a work plan to achieve the “to be.”

During the small-group exercise, the instructor asks each participant to share the differences he/she wants to make, as described on the pre-course assignment. The group, led by the instructor should discuss if 1) this is clearly stated, 2) if the description is a global, “to be” description, and 3) if not, how it could be reframed.

Each participant is given 3-4 minutes to present and 3-4 minutes to get feedback from the group (total of 6-8 minutes per person; use a timekeeper to stay on track.)

Break: 10 minutes (Participants return directly to their breakout rooms). (3:00 p.m.)

Guided Practice (35 minutes)

Small group exercise: 35 minutes

Draft statement of leadership direction

Module 3 – Defining Your Leadership Direction

Note to instructor: The guided practice takes place in the breakout rooms. Give each participant paper with “draft” as a large watermark. Each instructor tells the participants that, based on their pre-course work and the discussion they just had, they will draft a leadership direction statement for their office. Each instructor should stress again that this is a preliminary draft, as the final statement should be created with the involvement of the executive team and others. The participants are given **10 minutes** to draft the statement. Instructors should remind them of the criteria for a leadership direction statement. Once they have completed their draft they should show it to an instructor for review. Instructor can guide them to make small changes as needed.

After they draft their statements, participants divide into pairs to share and critique their statements using the questions in the activity instructions (based on the criteria) in their participant manual.

Instructors should remain with the groups as they work, providing guidance and responding to questions as needed.

Once they have finished the paired review, ask each person to write their statement legibly on chart paper, then return to the main training room and post their charted statement on the wall for others to review. (no break)

Participants are given **25 minutes** for activity.

Instructional Input (20 minutes)

Lecture and large group discussion: 20 minutes

Next steps regarding leadership direction and involvement of others

Now that we’ve talked about the need to establish your leadership direction, let’s discuss how you might build on your classroom work when you get home.

There are four primary activities you will need to undertake, with your executive team. Your executive team will be key—whether you have a two-person or a ten-person team.

1. **Further develop your leadership direction and develop your final leadership direction statement.** Discuss with your executive team your perception of the current state of your office and your community and the differences you

Module 3 – Defining Your Leadership Direction

want to make by the end of your term. The executive team may bring to light additional information on the current state of affairs and may suggest additions or refinements to your leadership direction. They should work closely with you to craft the final statement to help ensure it is clear, says all it needs to say, and is inspiring to staff and others.

2. **Communicate your leadership direction.** The executive team can help you develop and carry out a plan to “roll out” the leadership direction, including when, how, and to whom.
3. **Develop strategies to get support for your leadership direction.** The executive team can give you feedback on potential responses to the leadership direction statement from staff and others. They can help you develop strategies to overcome negative responses and capitalize on positive responses. They can help you identify influential staff and others who might be key in getting support for the leadership direction. And your executive team should be “cheerleaders” for the leadership direction.
4. **Develop a work plan for achieving your leadership direction.** The executive team can help you analyze the current status of the organization against the leadership direction to determine how much of a gap there is between the two. This will help define what and how much work needs to be done to close the gap. The executive team can help you develop and carry out the plan.

Depending on specific circumstances in your organization or depending on the activity, you may want to involve others in addition to the executive team. Remember, people support what they help create. The more people who are involved, the broader your base of support will be. If staff feel they have an investment in this, they will help you achieve your leadership direction!

Ask: Who in your organization could contribute in some way to any of these four steps?

What are the advantages or disadvantages of including this person/these people?

Note to instructor: As you solicit responses ask participants to consider potential advantages and disadvantages of their suggestions.

Ask: Who in your community – outside your organization – could help with any of the four steps? In what way? How would their

Module 3 – Defining Your Leadership Direction
involvement help?

What are the advantages or disadvantages of including this person/these people?

Note to instructor: Solicit responses from the participants. Also ask participants if and why it might be important to inspire a shared leadership direction within the community.

Independent Practice/Self Assessment (15 minutes)

Note to instructor: Refer participants to the self-assessment form in their Leadership Development Plan booklet, and tell them they will have 15 minutes to complete it. Remind about filling out the “star.”

Closure And Evaluation (10 minutes)

Transition to next module

Now that we have examined what you want to achieve during your term in office, we will spend the remainder of the program focusing on some of the essential tools in helping you achieve your leadership direction. We’ll start with self awareness, and we’ll give you the results of your MBTI during the next module.

Participant evaluation of module

Note to instructor: Give participants 5 minutes to complete the evaluation, and then collect the forms.

Homework Assignment: 15 minutes

Note to instructor: Direct participants to the Case for Change example and blank form in the last section of their participant manual.

Turn in the two Case for Change pages to your small group facilitator.

Tell participants that, on Thursday and Friday, we will focus on leading change—change that is needed to achieve the sheriff’s leadership direction. To prepare for that module, participants will identify a change initiative and develop a case for the change. They

Module 3 – Defining Your Leadership Direction

will draw from their draft leadership-direction statement and their pre-program assignment to do this. During Module 9: Leading Change, all participant activities will be based on their case for change and their change initiative.

Review each section of the sample Case for Change with the participants and ask if they have questions or need any clarification. Let them know their completed work is due to (specify the name of the instructor) **by 1 pm on Wednesday**.

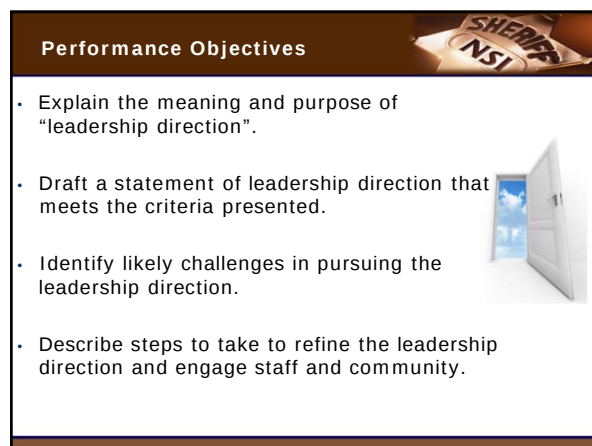
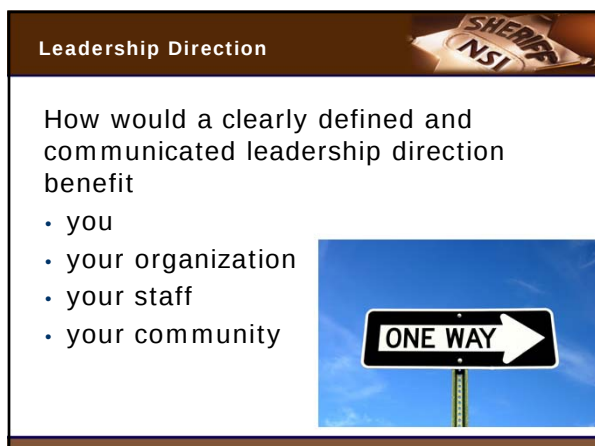
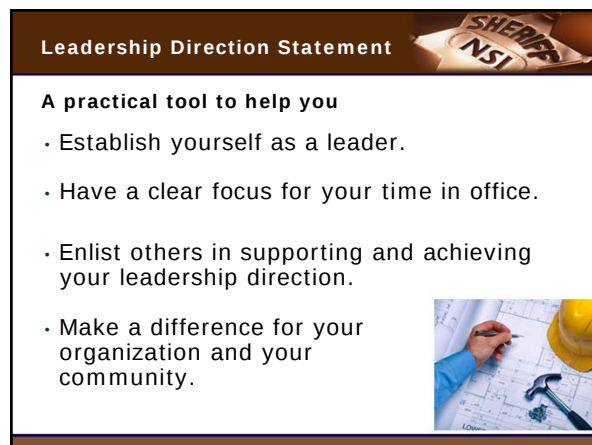
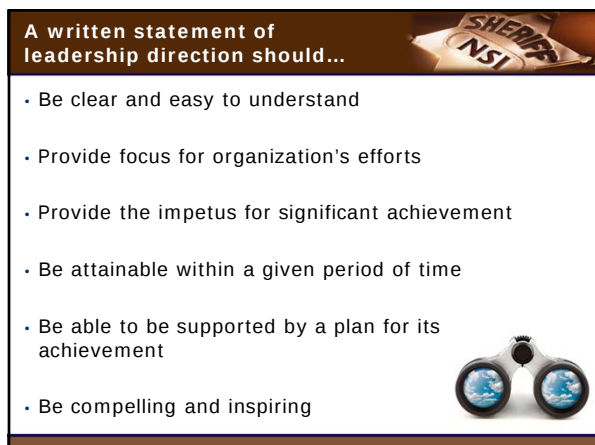
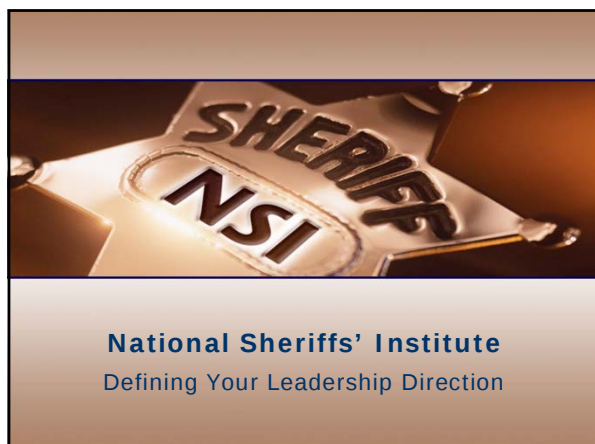
Conduct a check for understanding – this is a lot of review.

Tell participants the instructors will review and make written comments on the Cases for Change and will return them to the participants by **8am on Thursday morning**.

They may be handed to or emailed to your instructor.
They may be printed at the NIC Library/Info Center or your hotel business office.

Instructors should check in with each participant on Tuesday to ensure they have begun and will complete their assignment on time.

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Leadership-Direction Statement Review



Are any parts of this statement unclear?

If so, what needs to be clarified?



Leadership-Direction Statement Review



According to this statement, what are some of the specific things the sheriff hopes to accomplish?



Leadership-Direction Statement Review



How would you summarize the focus of the work of this sheriff's office? Take a moment and jot down two or three words.



Leadership-Direction Statement Review



What are some of the likely challenges the sheriff will face in achieving the differences he wants to make?



Leadership-Direction Statement Review



Considering these challenges, in what ways does this leadership direction statement provide *the impetus for significant achievement* in the work of the sheriff's office?



Leadership-Direction Statement Review



Considering the challenges, is this leadership direction attainable within sheriff's first term?



Leadership-Direction Statement Review



What would the Sheriff need to do to begin developing a work plan?



Leadership-Direction Statement Review



What is compelling or inspiring about the statement?



Small Group Exercise Discussion of Pre-Program Assignment



Each group member share differences they want to make, as described in the pre-program assignment.

"Will be" vs. "Will do"
Future-oriented



Small Group Exercise Draft Leadership-Direction Statement



- Individually: draft a leadership-direction statement
- Have instructor review and give feedback
- In pairs: review each other's leadership-direction statement and give feedback



Next Steps



- Further develop your leadership direction and develop your final leadership-direction statement.
- Communicate your leadership direction.
- Develop strategies to get support for your leadership direction.
- Develop a work plan for achieving your leadership direction.



Next Steps



- Are there people within your organization whose involvement would be valuable in any of these four steps?
- Are there people outside your organization, but within your community, who could help in some way with any of the four steps?



Self-Assessment Worksheet



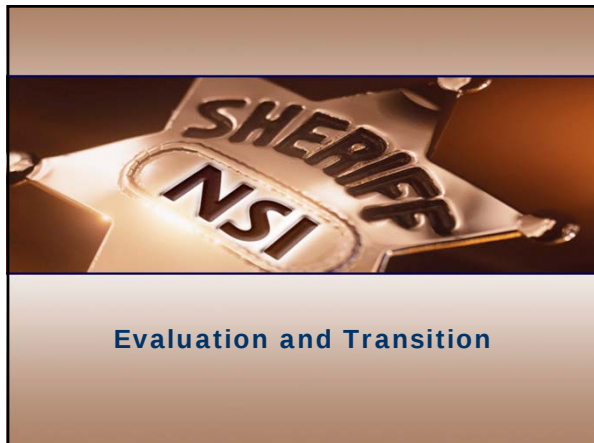
- Complete at end of each module.
- Don't forget to fill in your strength and your challenge in the "star" in the back of your Leadership Development Plan workbook.



Homework: Case for Change



- Complete the Case for Change form based on your pre-program assignment and draft leadership-direction statement.
- Give your completed Case for Change to your instructor by 1 p.m. Wednesday.
- Your instructor will review and return your Case for Change by 8 a.m. Thursday.
- You may consult with your instructor as you develop your Case for Change.



Evaluation and Transition

Defining Your Leadership Direction

Performance Objectives

- Explain the meaning and purpose of “leadership direction”.
- Draft a statement of leadership direction that meets the criteria presented.
- Identify likely challenges in pursuing the leadership direction.
- Describe the steps to take to refine the leadership direction and engage staff and community.

Leadership Direction

An effective leader defines and clearly communicates their leadership direction.

A written statement of leadership direction should...

- Be clear and easy to understand.
- Provide the focus for the organization's efforts.
- Provide the impetus for significant achievement.
- Be attainable within a given period of time, such as your term of office.
- Be able to be supported by a plan for its achievement.
- Be compelling and inspiring.

The statement of your leadership direction will be a practical tool for you in:

- Establishing yourself as a leader.
- Having a clear focus for your term in office.
- Making a difference for your organization and your community.

Leadership Direction

How would having a clearly defined and communicated leadership direction benefit you, your organization, your staff, and your community?

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Large Group Exercise

Sample Leadership-Direction Statement Review

- Is the statement *clear and easy to understand*?
- How well does the leadership-direction statement reflect the description of the differences the sheriff wants to make by the end of his/her term?
- Would this leadership-direction statement provide a *clear focus* for the work of the sheriff's office?
- Given the challenges to the achievement of the differences the sheriff wants to make, will this leadership-direction statement provide the *impetus for significant achievement* in the work of the sheriff's office?
- Consider the challenges to the differences the sheriff wants to make. Do you think this leadership direction is *attainable* within the sheriff's first term in office?
- Could a *work-plan* be developed to achieve the leadership direction?
- Is the statement *compelling and inspiring*?

EXAMPLE

As a result of my first term in office, I want my organization and my community to be different in the following ways:

The level of public safety and the quality of life for my community will be better than it is now.

My organization's operations and services will be more effective.

Sheriff's office staff will work more as a team and with mutual respect among divisions.

The sheriff's office will have active partnerships with other law enforcement and community service agencies. We will be more effective, and we will decrease costs in achieving our mutual goals by sharing resources and reducing redundant services.

Strengths (personal, organizational, community) that support the differences I want to make:

The search and rescue staff are well trained and highly qualified. They have received a lot of publicity over the last year for three successful and dangerous rescue operations.

The heads of city and state law enforcement agencies in my community are eager to establish a healthy working relationship with the sheriff's office, if I improve the quality of work in our patrol and jail divisions.

Two members of my executive team have working experience with the community's homeless shelter and the shelter for battered women.

EXAMPLE, cont'd

I am very active in a variety of community groups. I have established relationships through these groups that will be valuable in helping me develop partnerships with community service agencies.

Challenges (personal, organizational, community) to achieving the differences I want to make.

The patrol division has a reputation for poor response times, less-than-positive interactions with both perpetrators and victims, and sometimes shoddy crime-scene work.

The jail's physical plant and operations are below standard, and the jail poses significant and immediate safety risks to inmates, staff, and visitors.

There is competition and rivalry between the sheriff's office and the state police, and the former sheriff made this rivalry public. Relationships with city law enforcement agencies were lukewarm under the former sheriff.

The former sheriff operated in isolation from human service agencies and was not well respected by the heads of those agencies.

The former sheriff had an adversarial relationship with the county commissioners, which really hurt our ability to obtain adequate funding.

The sheriff's office budget has been reduced by 8% this fiscal year.

Although staff within divisions see themselves as a team, staff among divisions do not. Jail staff in particular—and their duties—are not understood or well-respected by staff in other divisions. The former sheriff gave very little attention or support to the jail, and the other

EXAMPLE, cont'd

divisions tended to follow his lead. Personally, I know very little about the jail.

Leadership-Direction Statement

In support of a well-integrated community approach to improving public safety and quality of life, the Brown County Sheriff's Office will partner with other law enforcement and human service agencies to identify mutual goals and implement shared strategies to achieve those goals. The services of each division of the Office will conform to professional standards and will be delivered with competence and a clear commitment to public service. Finally, there will be strong team work and mutual respect among the divisions of the Sheriff's Office in the pursuit of enhanced public safety and quality of life.

Small Group Exercise Pre-Program Assignment Discussion

In your small groups, share the differences you want to make as you described them in your pre-program assignment.

There will be no large group report-out.

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Small Group Exercise

Leadership-Direction Statement

1. Individually, draft a leadership direction statement based on the discussion of the differences you want to make by the end of your term.
2. Show your draft to your small group facilitator for feedback.
3. Pair with another small group member. Review each other's statement and provide feedback based on the following questions:
 - Is the statement *clear and easy to understand*? If not, what needs to be clarified?
 - How well does the leadership-direction statement reflect the description of the differences the sheriff wants to make by the end of their term?
 - In what way would this leadership-direction statement provide a *clear focus* for the work of the sheriff's office?
 - Consider the likely challenges to achieving the differences the sheriff wants to make.
 - Will this leadership-direction statement provide the *impetus for significant achievement* in the work of the sheriff's office?
 - Do you think this leadership direction is *attainable* within the sheriff's first term in office?
 - Could a *work-plan* be developed to achieve the leadership direction?
 - In what ways is the statement *compelling and inspiring*?
4. Revise your draft based on feedback received.
5. Write your statement legibly on chart paper and post on the wall in the main room for all to see. Sign your statement.

Next Steps

1. Further develop your leadership direction and develop your final leadership direction statement.
2. Communicate your leadership direction.
3. Develop strategies to get support for your leadership direction.
4. Develop a work plan for achieving your leadership direction.

Involving Others

- Are there persons within your organization whose involvement would be valuable in any of these four steps?
- Are there persons outside your organization, but within your community, whose involvement would be valuable in any of the four steps?

Self-Assessment

Complete the self-assessment exercise for Module 3 in your spiral-bound Leadership Development Plan (LDP). Remember to fill in
(A) Your greatest strength and
(B) Your biggest challenge
in the star under #3 in the back of your LDP.

Homework Assignment

Case for Change

In Module 9, “Leading Change” you will work on a change initiative you want to undertake that supports your draft leadership-direction statement. This initiative will also address the “challenges to making a difference” you identified in your pre-program assignment. To prepare for your work in Module 9 you need to develop a case for change.

1. Review the sample case for change in the final section of your participant manual.
2. Using the blank form in your manual, develop your own case for change.
3. Complete your case for change by 1 p.m. on Wednesday and give it to your instructor. [You may print it at the NIC Library/Info Center or at your hotel business office, or email it to your instructor.]
4. Your instructor will review and return your case for change by 8 a.m. on Thursday.

Your instructor is available to address questions or concerns you have about this assignment.

Leadership Direction

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Lesson Plans

Initiative: Leadership NSI

Program: National Sheriffs' Institute

Module 4: Self-Awareness

Time: 4 hours, including breaks

Overview

To be effective, leaders must understand themselves and those they seek to lead. Prior to coming to class, participants will take the Myers-Briggs Type Indicator (MBTI®); during class they will receive the results. In this module, through guided discussions and small group activities, participants will learn more about different personality dimensions and consider all style preferences in addressing a range of leadership challenges. They will complete a self-assessment worksheet, then develop strategies to enhance their leadership capabilities by building on strengths and addressing challenges identified by the MBTI®.

Performance Objectives

After completing this module participants will be able to

- Recognize both the strengths and the challenges of their personal preferences according to the MBTI®.
- Describe the contributions of all style types in enhancing an organization
- Determine how to use the strengths of their MBTI® preference to manage their challenges
- Develop strategies to elevate their leadership capabilities

Preparation

Form M, MBTI® - sent out to participants prior to NSI and returned for scoring

MBTI® results – Form M

Report Form – Form M

Introduction to Type –Myers, Introduction to Type in Organizations-Hirsh/Kummerow)

True Colors Introduction card pack for each participant (www.trucolorsintl.com)

Remember to add the class distribution chart in the PowerPoint slides.

Instructor(s) for this module must be well-versed in the MBTI and True Colors instruments: purpose, scoring, interpretation. Instructors need to have personal examples of all the types, and be able to respond to participant questions and concerns.

Development Date: August 29, 2005
Revised: July 7, 2006; March 25, 2009;
March 4, 2010; December 27, 2010,
December 2014; May 2015

PRESENTATION GUIDE

FACULTY NOTES

Anticipatory Set (10 minutes)

Using white space in your participant manual, please write your name as though you were signing a check.

Now write your name again, but this time use your non-dominant hand.

Ask: How was writing with your non-dominant hand different from writing with your dominant hand?

Note to Instructor: Record responses on chart paper as they are given.

Responses will likely include: I had to think more; took more effort; the results not as good; awkward; took more time; felt stupid; uncomfortable.

Ask: How is this similar to work performance when you are performing a new skill or using a different approach?

Note to Instructor: As responses are given, place a check-mark beside all those on the list that are mentioned. Add additional responses. It is likely that all the responses from the handwriting exercise will be checked.

Ask: How many of you have taken the MBTI before?

For of you who have taken this before, I want you to pay attention in terms of what new things you can learn about yourself, and what might be different in your new role.

Whenever we need to work beyond our strengths it requires more effort and it can feel awkward. In fact, working outside of your strengths over an extended period of time is stressful and can lead to burnout.

Prior to the Institute you took the MBTI® to identify your unique gifts, your motivations, your natural strengths, and your personal areas for growth. You'll get your feedback in three 'buckets': one bucket will include your strengths as well as areas of opportunities for growth that are worth your investment of time and effort. The second bucket will be those identified areas for growth – or gaps – that can be best addressed by others whose strengths are different from your own. The third bucket includes things about yourself you want others to know so that they can work with you better. For example, one of Sheriff A's strengths is reaching out and connecting with others, including the community. One of his challenges, or gaps, is budget management. His leadership direction calls for both, so rather than investing time and energy in acquiring and using accounting and budget management skills he needs someone on his

staff who is skilled at math and whose strengths include working with detail. This would fall into the second bucket.

We're going to take a look at all of the MBTI® preference types to learn the strengths and challenges of each. It is important to remember that there is no one 'best type' and that we need all types to be effective in our organizations.

Note to instructor: Show the slide of the quote from Please Understand Me II, by David Keirsey. Ask someone to volunteer to read this out loud.

“We differ from each other in fundamental ways. We differ in our thoughts, in our feelings, in our wants and beliefs, and in what we say and do. Unfortunately, these variations in action and attitude trigger in us an all-too-human response. Seeing others as different from ourselves, we often conclude that these differences are bad in some way, and that people are acting strangely because something is the matter with them. Thus, we instinctively account for differences in others not as an expression of natural diversity, but in terms of flaw and affliction: others are different because they’re sick, or stupid, or bad, or crazy.”

If we recognize that people are different, and that we have a natural tendency to judge others negatively when they are different from us, we can use this knowledge to enhance our effectiveness as leaders by recognizing, appreciating, and using the differences of those we lead.

Appreciating differences begins with increasing your understanding of your own personality and character traits. Each of us has a view of ourselves as we perform our daily work and strive to exert influence in our professional and personal worlds. We usually assume that others see us as we see ourselves. We also hope that the way we get things done inspires and motivates those around us, rather than harming, demoralizing, or frustrating them.

However, few of us have actually taken the time to deliberate about the impact of our personality and preferences on those around us. A variety of self-assessment instruments have been developed. For the NSI, we are using an internationally recognized instrument, the Myers-Briggs Type Indicator (MBTI®), to help you identify for yourself your personality preferences. Through this instrument, you will also gain insight into those around you. Most people who use the MBTI® to identify their preferences experience several “AH-HA” moments.

Let's review our objectives for this module:

After completing this module you will be able to

- Recognize both the strengths and the challenges of your personal

preferences according to the MBTI®.

- Describe the contributions of all style types in enhancing an organization
- Determine how to use the strengths of your MBTI® preference to manage your challenges
- Develop strategies to elevate your leadership capabilities

Instructional Input (2 hours and 10 minutes, including two 10-minute breaks)

Lecture: 10 minutes: **MBTI® overview**

Note to Instructor: Use the following bullet points to share information about the MBTI®

The MBTI® was developed between 1923 and 1944 by Katharine Briggs and her daughter Isabel Briggs Myers, based on the work of the noted Swiss psychiatrist Carl G. Jung and his theory of psychological type.

The dimensions of Jung's psychological types create eight preferences that are organized into four opposite pairs. The four pairs are:

1. Extraversion/Introversion - Where we prefer to focus our attention and get energy
2. Sensing/Intuition - The way we prefer to take in information
3. Thinking/Feeling - The way we prefer to make decisions
4. Judging/Perceiving - How we orient ourselves to the external world

As you will learn, the terms used for these preference types likely have a meaning different from the typically held meaning or definition.

Large group discussion: 30 minutes **Opposite Preferences**

Note to Instructor: Explain the opposite pairs of preferences using the narrative below. Following the description of each preference pair there are two questions for you to ask participants. Their choice of A or B will provide a simple illustration of how preferences impact behavior.

Ask the participants to jot down their response to each question. Later in the module, they will compare this information to their scores on the MBTI instrument they took before coming to the NSI.

I'm going to give you a brief explanation of each pair of opposite preference, then I will ask a question and give you two possible choices for an answer, A or B. When you select your answer:

- Make a note of your response for each set of opposite pairs. We will use this information later on.
- Think of which way you lean; your answer might not be readily apparent.
- Remember that these are *preferences*; there are no right or wrong answers.

1. **The Extroversion/Introversion**, or E/I pair looks at where we focus attention and get energy:

Extraversion (E)	Introversion (I)
• Focus on people and activity • Direct energy and attention outward from self • Receive energy from interacting with people and taking action	• Focus on inner world: ideas and experiences • Direct energy inward • Receive energy from reflecting on thoughts, memories, feelings

Note to Instructor: Share examples of personal extraversion characteristics. Ask for a few examples from participants and staff.

I'm going to ask you a number of questions related to the MBTI types. In your Participant Manual you have a place to note your responses.

Ask:

After a busy day of interacting with others – staff, the media, public constituents, commissioners – are you

- A. Mentally exhausted and depleted?
- B. Excited and energized?

When you are by yourself in your patrol vehicle, do you

- A. Like being alone because you can review and think about the day's events in your mind?
- B. Wish a partner were with you so you could discuss what's been happening?

Note to instructor: After they make note of their responses for each question, tell participants that answer A for both questions indicates a preference of introversion and answer B indicates an extraversion preference. Have them write down whether they think they lean more in the direction of an E preference or an I preference.

2. **The Sensing and Intuition**, or S/N preference pair, looks at the way we prefer to take in or receive information:

Note to Instructor: Share examples of sensing/intuition characteristics. Ask for a few examples from participants and staff.

Ask: Why would it be important for you to have someone on your team with a preference different from yours?

Ask: What happens if you are missing this characteristic on your team?

Sensing (S)	Intuition (N)
• Prefer to take in information that is real as determined by the 5 senses: what do I hear, see, feel, smell, touch • Focus on details; gather data • Determine what the facts and data reveal	• Look at the ‘big picture • Look for patterns and relationships in the facts and data • Imaginative • Rely on hunches

Take out a piece of paper and write down the directions from your home to your office. GPS signal is not available.

- A. Are your directions very specific, with full and exact street names, highway and exit numbers, distances described to a tenth of a mile?
- B. Are your distances (if any) approximate, for example “about the length of two city blocks”, and /or did you use landmarks, driving times, or any other characteristics to clarify the directions?

Note to Instructor: After participants note their answers, ask for someone who answered A and another person who answered B to volunteer to read their directions. [If time review class individual scores in advance and select readers based on S/N differences.] Then ask the following question to get participants to reflect on the differences

Ask: What differences did you notice about the way these two gave directions?

Ask: When you are in a problem-solving session with staff do you

- A. Ask for facts and data?
- B. Ask staff for their 'gut reaction'?

Note to instructor: After participants have noted their answers, tell them that in each case, answer A indicates a preference for sensing, and answer B indicates a preference for intuition. Have them write down whether they think they lean more in the direction of an S preference or an N preference.

Note: you need to decide whether you need to stretch or adapt to include the other style preference or whether it's a better use of time and energy to make sure there is someone on your staff who has the opposite preference from you.

3. **The Thinking/Feeling**, or T/F preference pair looks at the way we prefer to make decisions:

Thinking (T)	Feeling (F)
- Consider likely or logical consequences of each option - Examine pros and cons of each option objectively by mentally removing self from the situation	- Consider what is important to them and others involved - Make decisions based on values by mentally putting self in the situation

Ask: You need to make a decision about new uniforms. How would an F approach this decision?

Responses – ask staff for their input; find out about community perception; think about things such as officer comfort, practicality.

Ask: How would a T approach this? Find out cost to buy or replace; consider options available.

Present a common situation: Ask – how would an F approach this? How would a T approach this differently?

Give me an example of a decision you've had to make recently in your office.

There is a mistaken thought that this has to do with the level of toughness, that an F is not tough. But that's not true. An F can be just as tough. All of us have all of these 'types' in our repertoire. The MBTI identifies preferences, the types or styles we use most often, or that we prefer to use.

Ask: One of your staff comes to your office, visibly angry about a situation at work. After defusing the tension do you

- A. Make decisions and take action based on an objective, logical analysis of the situation and its potential consequences?
- B. Base your decisions and actions on how this staff and others will be affected?

You have to give performance feedback to a poorly performing staff. Which of the following is your initial tendency?

- A. Focus on facts and data to document and highlight the poor performance?
- B. Focus on how to deliver the feedback so the person won't feel attacked?

Note to instructor: After they note their answers, tell the participants that for both questions, answer A indicates a preference for thinking and B indicates a preference for feeling. Have them write down whether they think they lean more in the direction of a T preference or an F preference.

4. **The Judging/Perceiving**, or J/P preference pair looks at how we orient ourselves to the external world:

Judging (J)	Perceiving (P)
• Prefer structure and order • Seek to regulate and manage their lives • Prefer things to be organized and settled • Like to make decisions and move on	• Prefer flexibility and spontaneity • Seek to experience rather than control life • Feel confined by detailed plans and 'final' decisions • Open to new information and last-minute options

Note to Instructor: Share personal examples of judging and perceiving characteristics. Ask for a few examples from participants and staff. Point out examples you have noticed with participant behavior so far this week.

Ask: What do you think would happen if someone with a strong J preference is working with a strong P preference?

While there can be conflict and frustration, this can also provide balance. If we are self-aware we don't have to strive to be like someone else, or to become annoyed by another preference. We can learn to appreciate the differences and what each contributes to the success of the organization or the process.

Ask: You have just finished conducting a meeting with your staff. You signed up for several action items. Do you

- A. Start and complete the tasks as soon as possible so you can get them done, off your list, and out of the way?
- B. Delay completing the tasks because new information or ideas could present themselves and influence your course of action?

Ask: When you take a vacation do you usually

- A. Create a detailed itinerary for each day
- B. Keep plans flexible, make choices based on options and weather

Note to instructor: After they note their answers, tell the participant that for both questions, answer A indicates a preference for judging and B indicates a preference for perceiving. Emphasize that 'judging' in no way implies 'judgmental.' Have them write down whether they think they lean more in the direction of a J preference or a P preference.

At this point you should have 4 letters in front of you that collectively represent your 'self-selected' type: an E or an I; an S or an N; a T or an F; a J or a P.

Let's take a closer look at what this means for you as a law enforcement manager.

Lecture: 15 minutes

Type chart and type distribution

Note to instructor: Direct participants to the Law Enforcement Managers Type Distribution table on the slide and in their participant manual. The source of this data is CPP, data collected in 2008. Highlight the following for the participants.

The next slide shows normative data for law enforcement managers. The distribution is striking. About 47% of law enforcement managers are ISTJ or ESTJ. Over half of law enforcement managers are in the SJ boxes.

Ask: When you look at this chart, what do you see?

Responses will vary based on participant scores

Ask: What could be a challenge for law enforcement leaders – in general?

Responses will vary.

It is a myth that the other preferences are too soft, too touchy-feely. It is important to have someone on your staff who can provide balance to your preferences.

Ask: What could be a blind spot if there are more Js?

Response is likely: stuff gets done quickly but might miss something.

If you are overly focused on J and getting stuff done, you might miss options, you might get to the ‘end’ too quickly. There are situations where it would be good to slow down, let people come up with creative options.. If you focus too much on detail you can’t see the big picture – the leadership direction you worked on yesterday.

Note to instructor: Lead a brief discussion on how the distribution for law enforcement managers differs from that of the general population; concept of preferences and self-selection into this profession; possibility that self-selection occurs in other occupations; and potential for conflict among professions resulting from type differences. Note changes in distribution over the last several years and how the introduction of a greater variety of types can be beneficial to law enforcement.

Ask: What does this mean for this class? Any surprises? Reactions?

Note to instructor: Show the type distribution among current NSI participants. Point out similarities/differences between the participants’ distribution and the general law enforcement distribution, and similarities/differences between Law Enforcement and Normative data.

Here’s your class (chart on slide).

Ask: What do you notice?

Break: 10 minutes

Lecture: 20 minutes

Type combinations: Temperaments

While knowledge of preferences helps us understand more about our own behavior and that of others, understanding *combinations of types*, or **temperaments**, can give even greater insight.

The Four Temperaments are:

- SJ/Gold
- SP/Orange
- NF/Blue
- NT/Green

Now let's take a closer look, one temperament at a time.

Note to instructor: Hand out True Colors Introduction card packs.

The information on the characteristics and possible challenges of each Temperament is adapted from *Please Understand Me II*, by David Keirsey.

Temperaments are taken from *Thinking Cop, Feeling Cop*, by Stephen Hennessy.

SJ/Gold: Guardians

The first combination is SJ, labeled by Keirsey as “Guardians.” They are traditionalists, practical, and matter of fact. SJ occurs in the general population at about 43% and in law enforcement at about 54%.

Take out the Gold card in your card pack.

SJ/Gold, or Guardians, are characterized by the following:

- Good at detail
- Collect and verify facts through five senses
- Prefer taking one step at a time, sequential
- Enjoy working under a structured plan
- Like established ways of doing things
- Reach conclusions through careful analysis
- Usually patient with routine tasks
- Unlikely to be convinced by anything but reasoning based on solid facts

The SJ management style focuses on task management and roles. Here is a quote from an SJ law enforcement manager:

“Well, I never thought of myself as being particularly tactful or diplomatic, but these are some of the things I would hear from my subordinates: he's fair, but hard, he doesn't take any crap and he can see

through shallow excuses. You know, if I tell somebody to do it...I expect it to be done. Period!...The part I disliked most was dealing with the personnel issues. I have pretty good organizational ability in budget, planning, and training.”

Note to instructor: Note where the quote reinforces the SJ descriptors.

Ask: What are some of the challenges this style presents?

Responses should include:

- May neglect important personal issues
- May overlook long-range implications for day-to-day activities
- May appear blunt and insensitive

Put this card on the bottom of the stack. Later I'll have you sort your cards.

SP/Orange: Artisans

The second combination is SP, labeled by Keirsey as “Artisans”, or skilled workers. Note that they are adventurous and action oriented, and they live in the “here and now.” SP occurs in the general population at about 12% and in policing at about 11%.

Take out your orange card. The SJs are good with detail.

Ask: What are the SPs good with?

Responses will likely include: detail, crisis

Remember that ____% of you in here are SPs.

Ask: Why would you want your SWAT team commander to be an SP?

Responses should include: live in the moment, observant

SP/Artisans are characterized by the following:

- Focus on detail and concrete reality
- Practical, observant, structured
- Interested in facts gathered through the senses
- Good crisis manager
- Compassionate
- Enjoy the present moment
- Modest about their abilities

The SP manager tends to focus more on process than the finished product.

Here is a quote from an SP law enforcement manager:

“As far as a management philosophy, until somebody proves that they aren’t to be trusted, I trust people. The days of autocratic rule are gone...The idea that officers require extremely close supervision because they might do something wrong is childish. My challenge is I’m always doing things at the last minute...and people get nervous with procrastinators.”

Note to instructor: Note where the quote reinforces the SP descriptors.

Ask: What are some of the challenges of the SP temperament?

Responses should include:

- Waits till last minute to get things done – may not be seen as reliable
- May not complete projects after the process has become boring
- May appear to be “playing” all the time

NF/Blue: Idealists

The third combination is NF, labeled by Keirsey as “the Idealists.” They often function as catalysts and are enthusiastic and insightful. NF occurs in the general population at about 12% and in policing at about 11%.

These are the idealists. Pull out the blue card.
There are ____% of you in here who are blue.

Remember, it is important to have every temperament at the table.

Why is this important?

You need different perspectives.

If you have all Gold at the table, how will this temperament be perceived by your non-Gold staff and constituents?

NF/Idealists are characterized by the following:

- Often use feeling for decision making
- Think globally
- May dislike routine and detail
- Enjoy long-range issues
- Focus on people more than things

- Have a gift for oral and written communication
- Can communicate possibilities along with the values they attach to those possibilities

The NF management style focuses on supporting people.

Here is a quote from an NF law enforcement manager:

“To make black and white decisions without considering the people involved, I can’t do, even though it would be easier if I could. My people skills give me an extra dimension, but it’s also more frustrating because I’m dealing in a culture that historically does not consider the individual people involved. I’ve never been able to separate cold fact from the people involved.”

Note to instructor: Note where the quote reinforces the NF descriptors.

Question: what challenges are presented by the NFs?

Responses should include:

- May not be seen as sufficiently tough minded
- May try to please too many people at the same time
- May support people at the expense of fact and detail

NT/Green: Rationalists

The fourth combination is NT, which Keirsey has labeled “the Rationalists.” They are visionary, logical, and ingenious. NT occurs in the general population at about 15% and in law enforcement management at about 18%.

Pull out the Green card. Read some of the characteristics.

NT/Rationalists are characterized by the following:

- Perceive or take in information by iNtuition
- Focus on possibilities, theoretical relationships, and abstract patterns, but judge these with impersonal analysis
- Enjoy challenges, dislike detail and routine
- May overlook the present and focus on the future
- Do well in project activities
- Bore easily

The NT management style focuses on task management and the big picture.

Here is a quote from an NT law enforcement manager:

“I don’t like the paperwork. I delegate most of that to my lieutenant. Pretty much it’s been pure delegation. One of the things I haven’t done is I haven’t had a formal staff meeting...I don’t wanna waste my time or their time having a staff meeting to say, hi, how are ya.”

Note to instructor: Note where the quote reinforces the NT descriptors.

Ask: What are some of the challenges of the NT type?

Responses should include:

- May be impersonal and unappreciative of others’ input
- May be forgetful of current realities
- May be unable or unwilling to focus on practical details

Put your cards in order from most like you (on top) to least like you (on bottom.)

We are handing each of you the results of your test.

Take about 15 minutes to read through this.

You should also receive two booklets, “*Introduction to Types*” and “*Introduction to Type in Organizations*.”

Participant review of their MBTI® results: 35 minutes

Note to instructor: Before giving the participants their individual MBTI® reports, stress the following:

The MBTI®:

- Identifies preferences—not skills, abilities, or competencies
- Assumes that all preferences are equally important and necessary
- States that all preferences can be used by each person
- Does not provide an excuse for doing or not doing something

After these reminders, give each participant their individual MBTI® report. Make sure each participant gets the color dot (gold, orange, blue, green) to match their temperament. Review the sections of the MBTI® report with the participants and the type of information in each.

Guided discussion is helpful here. Ask participants to share about their style and experiences. Tie style types into the five leadership practices—especially the ‘encourage the heart.’

Note to instructor: After participants have reviewed their scores, ask them to compare these scores with their A and B responses and the letters they recorded that indicated their self-selected type.

Ask: When you compare your self-selected type to your MBTI® scores, how closely do they match? Are they pretty much aligned or were there surprises?

Note to instructor: Get a few responses. Most will likely find that their A and B scores align with the report from their MBTI® scores. If there were discrepancies, remind them that these scores are predictors, they are not exact.

Break: 10 Minutes

Brief Guided Practice (20 minutes)

Let's think a bit more about each of the four temperaments:

- SJ – Gold
- SP – Orange
- NT – Green
- NF – Blue

Ask: What would your office look like if everyone had only:

the SJ/Gold temperament?

Possible responses: everyone might want to be in charge, no followers, very black and white thinking, difficulty taking action in crisis situations when there is not time to gather all the facts, limited creative problem-solving

the SP/Orange temperament?

Possible responses: less talk, more action, might hurry to complete tasks, might miss important/necessary details/subtleties.

the NT/Green temperament?

Possible responses: Might overcomplicate things; may have trouble getting started on projects/tasks; might feel like nothing ever gets done.

the NF/Blue temperament?

Possible responses: people might take a lot of time and energy making sure there is full agreement before proceeding, problem performance goes unaddressed.

Ask: How effective would your decisions be if you got advice only from Golds? Only from Blues?

Possible responses:

Golds: Decisions might not be supported by staff

Blues: Decisions could be made based on popularity with staff rather than facts and details and could have repercussions, especially long-term.

Ask: What would happen to innovation if you had no input from Greens?

Possible response: Innovation with no input from Greens: A lot of time and money could be wasted because of lack of long-term planning or unintended consequences.

I'd like for each of you to **reflect on:**

- Something you learned from this activity that can help you in your leadership role.
- How what you learned might change the way you work with others, both internally and externally.

After a couple of minutes, please **share your responses with a partner** at your table.

Remember: No one is totally one color. Your color represents your strongest preference. A strong organization, the organization that is focused on your leadership direction, will need to include people with strengths in all colors/temperaments so that in your planning process you have facts and data (Gold), the big picture (Green), inclusion of all (Blue), innovation and action (Orange).

Small group exercise: 30 minutes
Using the MBTI® information

We're going to ask you to look at a scenario in your table groups and apply what you have learned about the MBTI® to analyze the combination types of members of a hypothetical executive team.

You have asked your executive team to develop a plan of action to deal with a problem. You also have decided that this would be a good time to assess the MBTI® type of each team member. Your management team consists of the patrol commander, the investigations commander, the jail commander and the chief deputy. All of the managers have had experience as a deputy and as a commander in all the other divisions because you rotate staff through different positions. You have asked each

of them individually to submit a general plan relating to the issue.

Based on the plans they submit, you will identify the MBTI® type of each commander using the descriptions of the combination types of SJ – sensing/judging, SP – sensing/perceiving, NF – intuitive/feeling and NT – intuitive/thinking.

Each table group will analyze the scenario in terms of the MBTI® preference pairs. You will have **20 minutes** to review the scenarios, discuss in your table group, determine the color type of each commander, and record your decisions on the easel pad at the front of the room.

Note to instructor: Each table group will work on the Pumpkin County scenario. Develop a grid on an easel pad for the groups to record their conclusions about the combination type of each commander. Someone from each table group should record their answers out of view of other tables (i.e. chart facing away from participant group). Debrief with the large group by reviewing the decisions made by each small group and sharing the correct answers. Consider giving a small reward to the table(s) with a perfect score. Debriefing should take no more than **10 minutes**.

Pumpkin County

You are the sheriff of Pumpkin County, which has a population of 60,000, including several small towns and one city of 25,000 people. The sheriff's office is the most effective law enforcement agency in the county, and staff assumes the leadership role when problems surface requiring agency coordination.

You have been informed of a problem in a high school located in a very small town, and the chief of police of the town has asked your office to handle the situation. The problem is as follows:

There is a serious gang problem at the high school. Many students are wearing colors and claim to belong to one of four gangs known to be active in the area. The school officials are reluctant to assist with the problem. Small fights have broken out between numerous students within the past week. Rumor has it that a large fight between two gangs will take place within two weeks, and it will involve weapons. Students at the school believe that the law enforcement agencies have no control at the school and have no way of stopping them from doing what they want to do.

You have decided to use your management team to develop a plan of action to deal with the problem. You also have decided that this would be a good time to assess the MBTI type of each team member. Your

management team consists of the patrol commander, the investigations commander, the jail commander and the chief deputy. All of the managers have had experience as a deputy and as a commander in all the other divisions because you rotate staff through different positions. You have asked each of them individually to submit a general plan addressing the issue.

Based on the following plan submissions, identify the MBTI type of each commander using the descriptions of the combination types of SJ – sensing/judging, SP – sensing/perceiving, NF – intuitive/feeling and NT – intuitive/thinking.

Chief Deputy (Note correct answer: NT)

First, we need to consider that this gives us an opportunity to create a long-range plan that allows us to develop an influence over the students and with the school officials. We need to create a long-term vision, a specific problem-solving mission, and several related goals and objectives.

Second, we need to put our plans in logical steps so all involved agencies can understand our basic concept and what we are trying to accomplish – immediately and for the future. We need to involve as many of the small departments as we can and give them responsibilities that will help them develop and help us have better relations in the future with them.

Third, we need to thoroughly research the legal aspects of the situation and ensure that we are following the law.

Jail Administrator (Note correct answer: SP)

First, I'm not sure we need a plan. We can respond when the problem arises. We may organize a meeting with the school officials and the parents to gather as many facts and as much information as possible but it's hard to create a specific plan. We should let the teachers, the county social workers, and the religious community develop a plan jointly with the students and teachers who are stressed by the situation.

Patrol Commander (Note correct answer: NF)

This is an outstanding opportunity to create a new community culture. It appears that the school people and the community are at a crisis point, and this is the best opportunity for opening groups and individuals to a major change effort. A community activity – like a picnic or festival – would bring people together in a positive way and create the opportunity for a dialogue and an exchange of information and feelings concerning the problems of teenagers, parents, and teachers. I am sure that, once we understand each other, we will be able to work toward a community that meets the needs of all groups. The law enforcement agencies should be

ready to respond to new ideas. They should help people solve interpersonal problems by facilitating communication and problem-solving.

Investigations Commander (Note correct answer: SJ)

1. We should contact the students we know are informants and interview them to get as much information as possible.
2. We should then use the informants to introduce undercover officers from the drug task force into the gangs.
3. We should identify gang leaders and initiate a continuous surveillance of all known persons.
4. We should take photographs of all leaders and persons associating with them.
5. We should develop a photo and information intelligence book describing the leaders, their habits, their associates, and their residences.
6. We should gather accurate information for the purpose of developing search warrants. When this is accomplished we should search persons and residences for weapons, drugs, and intelligence information.
7. We should arrest gang leaders and principle members whenever possible for minor and major crimes. This will remove them from the street and help us develop more informants.

Independent Practice/Self-Assessment (15 minutes)

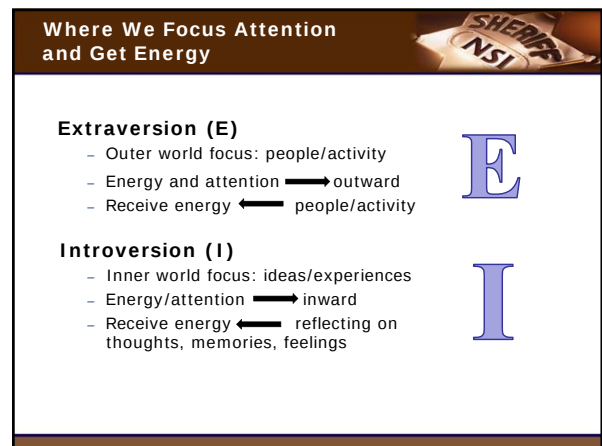
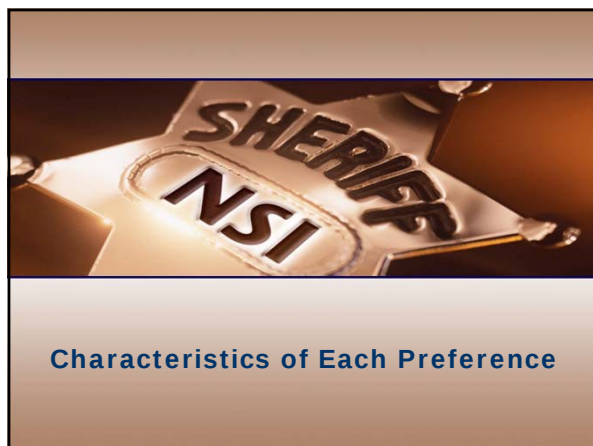
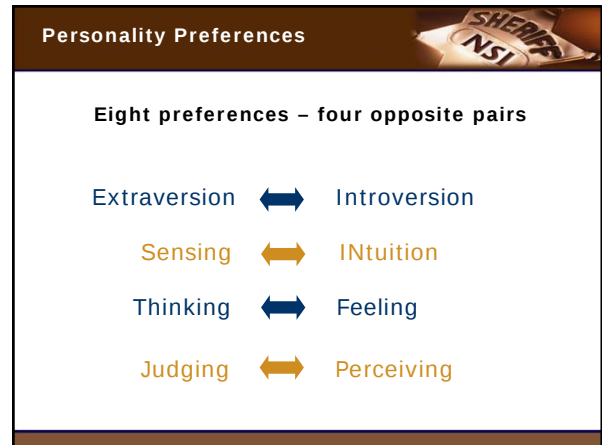
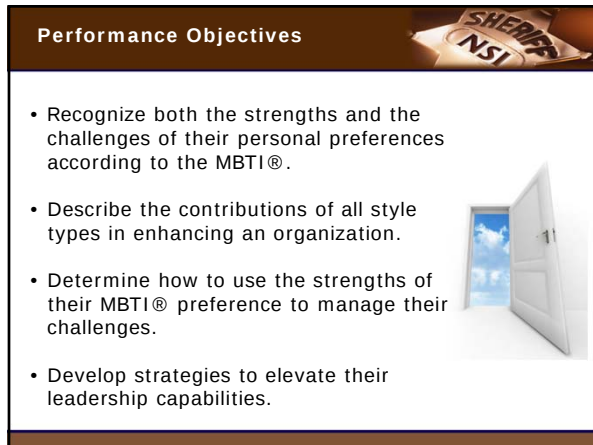
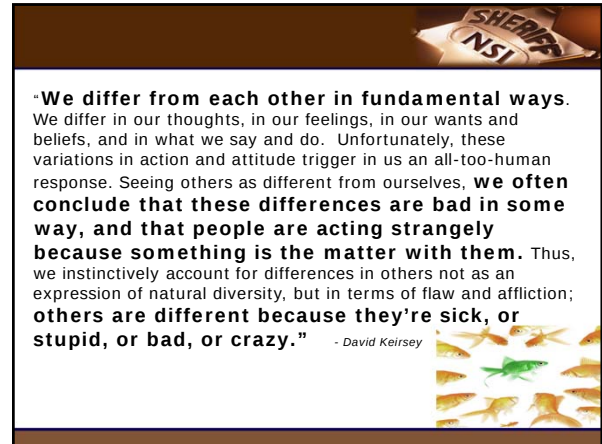
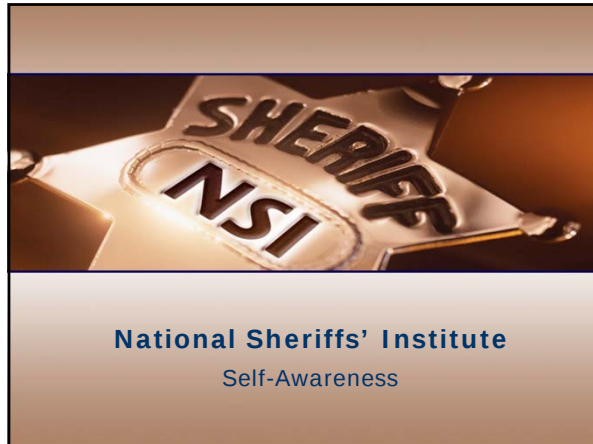
We're going to take some time now for you to complete a self-assessment worksheet. The worksheet will ask you to take the information you have learned about yourself through the MBTI®, analyze your strengths and challenges, and develop strategies to enhance your leadership capabilities, considering what you have learned in this module.

Closure and Evaluation (10 minutes)

In our next module, we'll take a closer look at the role of the executive team in helping you achieve your leadership direction.

Participant evaluation of module

Note to instructor: Give participants 5 minutes to complete the evaluation, then collect the forms.



Preference for Extraversion or Introversion



After a busy day of interacting with people (staff, the media, public constituents, commissioners) are you:

- A. Mentally exhausted and depleted?
- B. Excited and energized?

Preference for Extraversion or Introversion



When you are by yourself in your patrol vehicle, do you:

- A. Like being alone because you can review and think about the day's events in your mind?
- B. Wish a partner were with you so you could discuss what's been happening?

The Way We Prefer to Take in Information



Sensing (S)

- Take in information using senses
- Observe 'real world' around them
- Focus on details first

S

INTuition (N)

- Take in information: big picture, future
- See possibilities
- Focus on relationships and patterns first

N

Preference for Sensing or INTuition



Take out a piece of paper and write down the directions to get from your home to your office.

- A. Are your directions specific: exact street names, and distances described to a tenth of a mile?
- B. Did you use approximate distances, landmarks and driving times to clarify directions?

Preference for Sensing or INTuition



When you are in a planning session with your staff do you:

- A. Initially focus on data and facts, making sure you have all the detail you need?
- B. Initially focus on the big picture and overarching purpose?

The Way We Prefer to Make Decisions



Thinking (T)

- Look at logical consequences
- Examine pros and cons objectively

T

Feeling (F)

- Consider what is important to them and others
- Identify with others; make decisions based on values

F

Preference for Thinking or Feeling 

One of your staff comes to your office, visibly angry about a situation at work. What is your first reaction?

- A. Make decisions and take action based on an objective, logical analysis of the situation?
- B. Try to defuse the tension, calm the person, and base your decisions and actions on how this staff person and others will be affected?

Preference for Thinking or Feeling 

When you have to give performance feedback to a poorly performing subordinate, which of the following is your initial tendency?

- A. Focus on facts and data to highlight the poor performance
- B. Focus on how to deliver the feedback so the subordinate won't feel attacked

How We Orient Ourselves to the External World 

Judging (J)

- Prefer structure and organization
- Seek to regulate and manage their lives
- Want to make decisions, come to closure, and move on

Perceiving (P)

- Prefer flexibility and spontaneity
- Seek to experience and understand life
- Prefer to stay open to new information and last-minute options

J

P

Preference for Judging or Perceiving 

You have just finished conducting a meeting with your staff. You signed up for several action items. Do you:

- A. Start and complete the tasks as soon as possible so you can get them done and out of the way?
- B. Delay completing the tasks because new information or ideas could present themselves and influence your course of action?

Preference for Judging or Perceiving 

When you take a vacation do you usually:

- A. Create a detailed itinerary for each day?
- B. Keep plans flexible, make choices based on options and weather?

Law Enforcement Managers Type Distribution 

ISTJ 22.1%	ISFJ 3.6%	INFJ 1%	INTJ 4.1%
ISTP 6.7%	ISFP 1%	INFP 2.6%	INTP 4.1%
ESTP 8.2%	ESFP 2.1%	ENFP 4.6%	ENTP 6.2%
ESTJ 24.6%	ESFJ 3.6%	ENFJ 2.6%	ENTJ 3.1%

2008: Source CPP N=195

107th NSI Type Distribution

ISTJ 22.6%	ISFJ 3.2%	INFJ 3.2%	INTJ 0%
ISTP 6.5%	ISFP 3.2%	INFP 0%	INTP 0%
ESTP 19.4%	ESFP 0%	ENFP 6.4%	ENTP 0%
ESTJ 35.5%	ESFJ 0%	ENFJ 0%	ENTJ 0%



Type Combinations
Temperaments

Combinations / Temperaments

Sensing / Intuition and Judgment / Perception

- Knowledge of preferences helps understand behavior
- Knowledge of Combinations or Temperaments provides more insight
- Preferences based on type combinations may be related to occupation



Combination of Sensing with Judgment

SJs – Guardians (Traditionalists)

ISTJ	ISFJ	INFJ	INTJ
ISTP	ISFP	INFP	INTP
ESTP	ESFP	ENFP	ENTP
ESTJ	ESFJ	ENFJ	ENTJ

General population 43 % **Law enforcement** 54 %

SJ - Guardians

Practical	Matter-of-Fact
Details	Facts and analysis
Structure	Rules and Rights
Step-by-step	Established way
Routine	Sequence

From: David Kiersey, *Please Understand Me II*

The SJ Management Style

Focus: task management and roles

"Well, I never thought of myself as being particularly tactful or diplomatic, but these are some of the things I would hear from my subordinates: he's fair, but hard, he doesn't take any crap and he can see through shallow excuses. You know, if I tell somebody to do it . . . I expect it to be done. Period! . . . The part I disliked most was dealing with the personnel issues . . . I have pretty good organizational ability in budget, planning and training."

From: Stephen Hennessy, *Thinking Can Feeling Can*, 1992

The SJ Management Style

Possible Challenges

- May neglect important personal issues
- May overlook long-range implications for day-to-day activities
- May appear blunt and insensitive



From: David Kiersey, [Please Understand Me II](#)

Combinations of Sensing with Perceiving

SPs – Artisans (Adventurous)

ISTJ	ISFJ	INFJ	INTJ
ISTP	ISFP	INFP	INTP
ESTP	ESFP	ENFP	ENTP
ESTJ	ESFJ	ENFJ	ENTJ

General population 38% **Law enforcement** 18%

SP – Artisans

Action
Process over product
Compassion
Detail + concrete reality
Practical
Gather facts through senses
Modest
Here-and-now



From: David Kiersey, [Please Understand Me II](#)

SP - Artisans

Focus: present and action

"As far as a management philosophy, until somebody proves that they aren't to be trusted, I trust people. The days of autocratic rule are gone...The idea that officers require extremely close supervision because they might do something wrong is childish. My weakness is I'm always doing things at the last minute...and people get nervous with procrastinators."

From: Stephen Hennessy, [Thinking Can Feeling Coop](#), 1992

SP - Artisans

Possible Challenges

- Wait till last minute – may not be seen as reliable
- May not complete projects after process becomes boring
- May appear to be "playing" all the time



From: David Kiersey, [Please Understand Me II](#)

Combinations of INTuition with Feeling

NFs - Idealists (Catalysts)

ISTJ	ISFJ	INFJ	INTJ
ISTP	ISFP	INFP	INTP
ESTP	ESFP	ENFP	ENTP
ESTJ	ESFJ	ENFJ	ENTJ

General population 12% **Law enforcement** 11%

NF - Idealists

Values 1st

People over facts

Communicator

Long-range thinker

Vision

From: David Kiersey, *Please Understand Me II*

NF - Idealists

Focus: supporting people

"To make black and white decisions without considering the people involved, I can't do, even though it would be easier if I could. My people skills give me an extra dimension, but it's also frustrating because I'm dealing in a culture that historically does not consider the individual people involved. I've never been able to separate cold fact from the people involved."

From: Stephen Hennessy, *Thinking Can Feeling Co.*, 1992

NF - Idealists

Possible Challenges

- May not be seen as sufficiently tough-minded
- May try to please too many people at the same time
- May focus on people at the expense of task details

From: David Kiersey, *Please Understand Me II*

Combinations of INTuition with Thinking

NTs – Rationalists (Visionary)

ISTJ	ISFJ	INFJ	INTJ
ISTP	ISFP	INFP	INTP
ESTP	ESFP	ENFP	ENTP
ESTJ	ESFJ	ENFJ	ENTJ

General population 15% Law enforcement 18%

NT - Rationalists

Logical
Ingenious
See possibilities
Look for abstract patterns
Enjoy challenge
Dislike detail and routine
Focus on future
Bore easily
Activity-driven

From: David Kiersey, *Please Understand Me II*

NT - Rationalists

Focus is on task management and the big picture

"I don't like the paperwork. I delegate most of that to my lieutenant. Pretty much it's been pure delegation. One of the things I haven't done is I haven't had a formal staff meeting . . . I don't wanna waste my time or their time having a staff meeting to say 'Hi, how are ya?'"

From: Stephen Hennessy, *Thinking Can Feeling Co.*, 1992

NT - Rationalists

Possible Challenges

- May be too impersonal and unappreciative of others' input
- May be forgetful of current realities
- May be unable or unwilling to focus on practical details



From: David Kiersey, [Please Understand Me II](#)

ISTJ	ISFJ	INFJ	INTJ
ISTP	ISFP	INFP	INTP
ESTP	ESFP	ENFP	ENTP
ESTJ	ESFJ	ENFJ	ENTJ



Your MBTI® Results

Impact of only one temperament

What would your office look like if everyone had only:

- the SJ/Gold temperament?
- the SP/Orange temperament?
- the NT/Green temperament?
- the NF/Blue temperament?

Implications of gaps:

- How effective would your decisions be if you got advice only from Golds?
Only from Blues?
- What would happen to innovation if you had no input from Greens?




Guided Practice

Reflect on:

MBTI

- Something you learned from this activity that can help you in your leadership role.
- How what you learned might change the way you work with others, both internally and externally.
- Share that with a partner at your table.

SJ SP NT NF

Small Group Exercise



1. Review scenario
2. Discuss with table group
3. Determine color type of each commander
4. Record decisions on easel pad



Self-Assessment Exercise



Complete self-assessment





Evaluation and Transition

Self-Awareness

Performance Objectives

- Recognize both the strengths and the challenges of personal preferences according to the MBTI®.
- Describe the contributions of all style types in enhancing an organization.
- Determine how to use the strengths of MBTI® preferences to manage challenges.
- Develop strategies to elevate personal leadership capabilities.

Differences

"We differ from each other in fundamental ways. We differ in our thoughts, in our feelings, in our wants and beliefs, and in what we say and do. Unfortunately, these variations in action and attitude trigger in us an all-too-human response. Seeing others as different from ourselves, we often conclude that these differences are bad in some way, and that people are acting strangely because something is the matter with them. Thus, we instinctively account for differences in others not as an expression of natural diversity, but in terms of flaw and affliction; others are different because they're sick, or stupid, or bad, or crazy."

- David Keirse

Myers-Briggs Type Indicator®

The Myers-Briggs Type Indicator® is the most widely used instrument of its kind in the world. It was developed between 1923 and 1944 by Katharine Briggs and her daughter Isabel Briggs Myers, based on the work of the noted Swiss psychiatrist Carl G. Jung. The first MBTI® indicator was published by the Educational Testing Service in 1956. Since then, there has been on-going research and refinement of the MBTI®.

Dimensions of the MBTI®

Personality Preferences

The eight preferences are organized into four opposite pairs.

- Extraversion – Introversion: where we prefer to focus our attention and get energy
- Sensing – Intuition: the way we prefer to take in information
- Thinking – Feeling: the way we prefer to make decisions
- Judging – Perceiving: how we orient ourselves to the external world

Characteristics of Each Preference

1. The Extraversion/Introversion, or E/I pair, looks at where we focus attention and get energy
 - Extraversion (E)
 - Focus on the outer world of people and activity
 - Direct energy and attention outward
 - Receive energy from interaction with people and taking action
 - Introversion (I)
 - Focus on inner world of ideas and experiences
 - Direct energy and attention inward
 - Receive energy from reflecting on thoughts, memories, and feelings

After a busy day of interacting with people (staff, the media, public constituents, commissioners, etc.) are you

A Mentally exhausted and depleted?

B Excited and energized?

When you are by yourself in your (patrol) vehicle, do you

A Like being alone because you can review and think about the day's events in your mind?

B Wish a partner were with you so you could discuss what's been happening?

I am more (circle preference)

E	I
---	---

Characteristics of Each Preference

2. The Sensing and INtuition, or S/N preference pair, looks at the way we prefer to take in or receive information

- Sensing (S)
 - Like to take in real and tangible information using the five senses
 - Observe the specifics of what is going on around them
 - Focus on details first
- INtuition (N)
 - Take in information by seeing the big picture and the future
 - Focus on relationships and connections between facts
 - Want to grasp patterns
 - Especially attuned to seeing new possibilities

Take out a piece of paper and write down the directions for how to get from your home to your office. GPS signal is not available.

A Are your directions specific: exact street names, and distances described to a tenth of a mile?

B Did you use approximate distances or landmarks and driving times to clarify directions?

When you are in a planning meeting with your staff you

A Initially focus on data and facts, making sure you have all the detail you need?

B Initially focus on the big picture and over-arching purpose?

I am more (circle preference)

S	N
---	---

Characteristics of Each Preference

3. The Thinking/Feeling, or T/F preference pair, looks at the way we prefer to make decisions.
- Thinking (T)
 - Like to look at the logical consequences
 - Like to mentally remove themselves from the situation to examine pros and cons objectively
 - Feeling (F)
 - Like to consider what is important to them and others
 - Like to mentally place themselves in the situation to help them identify with others so they can make decisions based on their values

One of your staff comes to your office, visibly angry about a situation at work. After defusing the tension you

A Make decisions and take action based on an objective, logical analysis of the situation?

B Try to defuse the tension, calm the person, and base your decisions and actions on how the staff and others will be affected?

You have to give performance feedback to a poorly performing staff. Initially you

A Focus on facts and data to highlight the poor performance?

B Focus on how to deliver the feedback so the subordinate won't feel attacked?

I am more (circle preference)

T	F
---	---

Characteristics of Each Preference

4. The Judging/Perceiving, or J/P preference pair, looks at how we orient ourselves to the external world.

- Judging

- Like to live in a planned, orderly way
- Seek to regulate and manage their lives
- Want to make decisions, come to closure, move on
- Their lives tend to be structured and organized, and they like to have things settled

- Perceiving

- Like to live in a flexible, spontaneous way
- Seek to experience and understand life rather than control it
- Detailed plans and final decisions feel confining
- Prefer to stay open to new information and last-minute options

You have just finished conducting a meeting with your staff. You signed up for several action items. Do you

A Start and complete the tasks as soon as possible so you can get them done and out of the way?

B Delay completing the tasks because new information or ideas could present themselves and influence your course of action?

When you take a vacation do you usually

A Create a detailed itinerary for each day?

B Keep plans flexible, make choices based on options and weather?

I am more (circle preference)

J	P
---	---

My self-selected type

I am more (circle one preference in each pair)

E	I
S	N
T	F
J	P

MBTI®

Law Enforcement Managers (CPP 2008)

ISTJ 22.1%	ISFJ 3.6%	INFJ 1%	INTJ 4.1%
ISTP 6.7%	ISFP 1%	INFP 2.6%	INTP 4.1%
ESTP 8.2%	ESFP 2.1%	ENFP 4.6%	ENTP 6.2%
ESTJ 24.6%	ESFJ 3.6%	ENFJ 2.6%	ENTJ 3.1%

Type Combinations

Sensing/INtuition and Perception/Judgment

Knowledge of preferences along the four type-dimensions is helpful to understanding individual behavior. However, understanding combinations of types, called the Temperaments, can provide even more insight into individual behavior.

Further, preferences based on type combinations may be related to occupation.

SJ/ Guardians (Traditionalists) – GOLD
Combinations of Sensing with Judgment

ISTJ	ISFJ	INFJ	INTJ
ISTP	ISFP	INFP	INTP
ESTP	ESFP	ENFP	ENTP
ESTJ	ESFJ	ENFJ	ENTJ

General population 43%

Law enforcement 54%

SJ/ Guardians
Practical and Matter-of-Fact

- Good at detail
- Can absorb many facts (facts collected and verified by the senses)
- Like to be sequential and take things one step at a time
- Enjoy working under a structured plan
- Like established ways of doing things
- Reach conclusions through careful analysis
- Usually patient with routine tasks
- Unlikely to be convinced by anything but reasoning based on solid facts

From: David Keirsey, Please Understand Me II

SJ/ Guardians: Management Style Focus on Task Management and Roles

“Well, I never thought of myself as being particularly tactful or diplomatic, but these are some of the things I would hear from my subordinates: he’s fair, but hard, he doesn’t take any crap and he can see through shallow excuses. You know, if I tell somebody to do it . . . I expect it to be done. Period! . . . The part I disliked most was dealing with the personnel issues . . . I have pretty good organizational ability in budget, planning and training.”

From: Stephen Hennessy, Thinking Cop, Feeling Cop, 1992

Possible Challenges for the SJ Style

- May neglect important personal issues
- May overlook long-range implications for day-to-day activities
- May appear blunt and insensitive

From: David Keirsey, Please Understand Me II

SP/ Artisans (Adventurous) – ORANGE
Combinations of Sensing with Perceiving

ISTJ	ISFJ	INFJ	INTJ
ISTP	ISFP	INFP	INTP
ESTP	ESFP	ENFP	ENTP
ESTJ	ESFJ	ENFJ	ENTJ

General population 38%

Law enforcement 18%

SP/ Artisans
“Here and Now,” Action Oriented

- Focus on detail and concrete reality
- Practical, observant, structured
- Interested in facts gathered through senses
- Good crisis manager
- Compassionate
- Enjoy the present moment
- Modest about their abilities
- Focus on the process rather than on the finished product

From: David Keirsey, Please Understand Me II

SP/ Artisans: Management Style Focus on the Present and Action

“As far as a management philosophy, until somebody proves that they aren't to be trusted, I trust people. The days of autocratic rule are gone...The idea that officers require extremely close supervision because they might do something wrong is childish. My weakness is I'm always doing things at the last minute...and people get nervous with procrastinators.”

From: Stephen Hennessy, Thinking Cop, Feeling Cop, 1992

Possible Challenges for the SP Style

- May not be seen as reliable because of waiting to the last minute
- May not complete projects after the process has become boring
- May appear to be “playing” all the time

From: David Keirse, Please Understand Me II

NF/ Idealists (Catalysts) – BLUE
Combinations of INTuition with Feeling

ISTJ	ISFJ	INFJ	INTJ
ISTP	ISFP	INFP	INTP
ESTP	ESFP	ENFP	ENTP
ESTJ	ESFJ	ENFJ	ENTJ

General population 12%

Law enforcement 11%

NF/ Idealists
Enthusiastic and Insightful

- Often use feeling for judgment
- Think globally
- May dislike routine and detail
- Enjoy long-range issues
- Focus on people more than things
- Have a gift for oral and written communication
- Can communicate possibilities and the values they attach to those possibilities

From: David Keirsey, Please Understand Me II

NF/ Idealists: Management Style Focus on Supporting People

“To make black and white decisions without considering the people involved, I can’t do, even though it would be easier if I could. My people skills give me an extra dimension, but also it gives me more frustration because I’m dealing in a culture that historically does not consider the individual people involved. I’ve never been able to separate cold fact from the people involved.”

From: Stephen Hennessy, Thinking Cop, Feeling Cop, 1992

Possible Challenges for the NF Style

- May not be seen as sufficiently tough-minded
- May try to please too many people at the same time
- May need to pay more attention to task details than on concerns of people

From: David Keirse, Please Understand Me II

NT/ Rationalists (Visionary) – GREEN
Combinations of INtuition with Thinking

ISTJ	ISFJ	INFJ	INTJ
ISTP	ISFP	INFP	INTP
ESTP	ESFP	ENFP	ENTP
ESTJ	ESFJ	ENFJ	ENTJ

General population 15%

Law enforcement 18%

NT/ Rationalists
Logical and Ingenious

- Prefer INtuition for perception
- Focus on possibilities, theoretical relationships, and abstract patterns but judge these with impersonal analysis
- Enjoy challenging assignments, but dislike detail and routine
- May overlook the present and focus on the future
- Do well in project activities
- Bore easily

From: David Keirsey, Please Understand Me II

NT/ Rationalists: Management Style Focus on Task Management and the Big Picture

"I don't like the paperwork. I delegate most of that to my lieutenant. Pretty much it's been pure delegation. One of the things I haven't done is I haven't had a formal staff meeting... I don't wanna waste my time or their time having a staff meeting to say 'Hi, how are ya?'"

From: Stephen Hennessy, Thinking Cop, Feeling Cop, 1992

Possible Challenges for the NT Style

- May be too impersonal and unappreciative of others' input
- May be forgetful of current realities
- May be unable or unwilling to focus on practical details

From: David Keirse, Please Understand Me II

MBTI® Results

Remember, the MBTI®

- Identifies preferences – not skills, abilities, or competencies.
- Assumes that all preferences are equally important, valuable, and necessary.
- States that all preferences can be used by each person.
- Does not provide an excuse for doing or not doing anything.

Guided Practice

What would your office look like if everyone had only:

the SJ/Gold temperament?

the SP/Orange temperament?

the NT/Green temperament?

the NF/Blue temperament?

How effective would your decisions be if you got advice only from
Golds?

Only from Blues?

What would happen to innovation if you had no input from Greens?

Reflect on:

- Something you learned from this activity that can help you in your leadership role.
- How what you learned might change the way you work with others, both internally and externally.

After a couple of minutes, please **share your responses with a partner** at your table.

A strong organization will need to include people with strengths in all colors/temperaments so that in your planning process you have facts and data (Gold), the big picture (Green), inclusion of all (Blue), innovation and action (Orange).

Small Group Exercise Using MBTI® Information

In your group

1. Read and discuss the following scenario.
2. Determine the color type of each commander.
3. Record your decisions on the easel pad at the front of the room.

Pumpkin County

You are the sheriff of Pumpkin County, which has a population of 60,000, including several small towns and one city of 25,000 people. The sheriff's office is the most effective law enforcement agency in the county, and staff assumes the leadership role when problems surface requiring agency coordination.

You have been informed of a problem in a high school located in a very small town, and the chief of police of the town has asked your office to handle the situation. The problem is as follows:

There is a serious gang problem at the high school. Many students are wearing colors and claim to belong to one of four gangs known to be active in the area. The school officials are reluctant to assist with the problem. Small fights have broken out between numerous students within the past week. Rumor has it that a large fight between two gangs will take place within two weeks, and it will involve weapons. Students at the school believe that the law enforcement agencies have no control at the school and have no way of stopping them from doing what they want to do.

You have decided to use your management team to develop a plan of action to deal with the problem. You also have decided that this would be a good time to assess the MBTI type of each team member. Your management team consists of the patrol commander, the investigations commander, the jail commander and the chief deputy. All of the managers have had experience as a deputy and as a commander in all the other divisions because you rotate staff through different positions. You have asked each of them individually to submit a general plan relating to the issue.

Based on the following plan submissions, identify the MBTI type of each commander using the descriptions of the combination types of SJ – sensing/judging, SP – sensing/perceiving, NF – intuitive/feeling and NT – intuitive/thinking.

Chief Deputy

First, we need to consider that this gives us an opportunity to create a long-range plan that allows us to develop an influence over the students and with the school officials. We need to create a long-term vision, a specific problem-solving mission, and several related goals and objectives.

Second, we need to put our plans in logical steps so all involved agencies can understand our basic concept and what we are trying to accomplish – immediately and for the future. We need to involve as many of the small departments as we can and give them responsibilities that will help them develop and help us have better relations in the future with them.

Third, we need to thoroughly research the legal aspects of the situation and ensure that we are following the law.

Jail Administrator

First, I'm not sure we need a plan. We can respond when the problem arises. We may organize a meeting with the school officials and the parents to gather as many facts and as much information as possible but it's hard to create a specific plan. We should let the teachers, the county social workers, and the religious community develop a plan jointly with the students and teachers who are stressed by the situation.

Patrol Commander

This is an outstanding opportunity to create a new community culture. It appears that the school people and the community are at a crisis point, and this is the best opportunity for opening groups and individuals to a major change effort. A community activity – like a picnic or festival – would bring people together in a positive way and create the opportunity for a dialogue and an exchange of information and feelings concerning the problems of teenagers, parents, and teachers. I am sure that, once we understand each other, we will be able to work toward a community that meets the needs of all groups. The law enforcement agencies should be ready to respond to new ideas. They should help people solve interpersonal problems by facilitating communication and problem-solving.

Investigations Commander

1. We should contact the students we know are informants and interview them to get as much information as possible.
2. We should then use the informants to introduce undercover officers from the drug task force into the gangs.
3. We should identify gang leaders and initiate a continuous surveillance of all known persons.
4. We should take photographs of all leaders and persons associating with them.
5. We should develop a photo and information intelligence book describing the leaders, their habits, their associates, and their residences.
6. We should gather accurate information for the purpose of developing search warrants. When this is accomplished we should search persons and residences for weapons, drugs, and intelligence information.
7. We should arrest gang leaders and principle members whenever possible for minor and major crimes. This will remove them from the street and help us develop more informants.

Self-Assessment

Complete the self-assessment exercise for Module 4 in your spiral-bound Leadership Development Plan (LDP). Remember to fill in

(A) Your greatest strength and

(B) Your biggest challenge

in the star under #4 in the back of your LDP.

Lesson Plan

Initiative: Leadership NSI	
Program: National Sheriffs' Institute	
Module 5: Developing Your Executive Team	Time: 3 hours and 20 minutes, including two 10-minute breaks

Overview

This module briefly acknowledges the dual role of members of the sheriff's executive team:

- 1) to provide expertise and leadership in a specific functional area and
- 2) to work as a team to develop, implement, and support the sheriff's leadership direction.

The module focuses on the second role and includes:

- A discussion of the role of the executive team and the definition of "team";
- A lecture and small group exercise on the factors in determining if the sheriff has the right team members;
- A lecture and small group exercise on the seven elements of effective work teams;
- An individual exercise that asks participants to assess their executive teams using concepts presented in this module, and develop a plan for improvement.

Performance Objectives

- Use five criteria for effective team membership to determine ways to evaluate and enhance executive team membership.
- Describe ways to use the seven elements of successful work teams to build a high-functioning team

Development Date: August 29, 2005

Revised: July 7, 2006; March 4, 2010;
February 2015, May 2015

PRESENTATION GUIDE	FACULTY NOTES
Anticipatory Set (10 minutes) Lecture and large group discussion: 10 minutes Role of the executive team, review of performance objectives Ask: How many of you have an executive team in place? Responses will likely include: Will vary. Ask: Who makes up your executive team? Responses will likely include: Will vary, but will likely include the undersheriff, and the heads of the various functions or divisions, such as patrol, detention, warrants, search and rescue and others. Ask: What is the role of your executive team in relation to your leadership direction? Responses will likely include: To help me make decisions, to manage their assigned functional areas, to keep me informed about operations, to help keep the organization on track toward our goals, to help me achieve my leadership direction.	
Note to instructor: If participants struggle with this, use the slide to do a very brief reminder of what has been reviewed. The information below can help you guide that discussion – it is not necessary to review all of this in detail. Refine your leadership direction statement into final form. Discuss with your executive team the values you have included in your draft statement of leadership direction and where you want your organization to be by the end of your term. The executive team may bring to light additional key values for your consideration, as well as some refinements to your overall leadership direction. They can also help you craft the final statement to help ensure it will be clear and inspiring to staff. Communicate your leadership direction. The executive team can help you develop and carry out a plan to “roll out” the statement of leadership direction, including when, how, and to whom. Develop strategies to get support for your leadership direction. The executive team can give you feedback on potential responses to the leadership direction statement from staff and others. They can help you develop strategies to overcome negative responses and capitalize on positive responses. They can help you identify influential staff who might be key in getting support for your leadership direction. And your	

Executive team should be “cheerleaders” for your leadership direction.

Develop a work-plan for achieving your leadership direction. The executive team can help you analyze the current status of the organization against your leadership direction to determine how much of a gap there is between the two. This will help define what and how much work needs to be done to close the gap. The executive team can help you develop and carry out the work plan.

Summarize by stressing the importance of the executive team to achieving the leadership direction—“Defining your leadership direction is key to your success as a leader, and the executive team is key to achieving your leadership direction.”

During this module, we’ll talk about executive teams and give you an opportunity to assess the team you might already have.

After you complete this module, you should be able to:

- Use five criteria for effective team membership to determine ways to evaluate and enhance executive team membership.
- Describe ways to use the seven elements of successful work teams to build a high-functioning team

Instructional Input (20 minutes)

Large group discussion: 10 minutes

Definition of “team,” ideal qualities of executive team members

For most or all of you, your executive team members have a critical role in managing their functional areas. Each team member often does this independently of the others and must be competent in that functional area. But the team must be more than a collection of individuals heading specific functions. They need to function as a well-developed team if they are expected to play a primary role in helping the sheriff achieve the leadership direction.

In this module, we’ll focus on their role as team members—to help you achieve your leadership direction, to support you, to be **your** team. As a leader, you get things done through others. Building an effective executive team is one of the most important things you will do early in your term.

Ask: What comes to mind when I say “team?”

For the purposes of this module, we’ll define “team” as “two or more

people with **complementary skills** who are **equally committed** to a specific performance need or goal.” Team members **collectively agree** on a common approach and activities for achieving their goals and objectives and **hold themselves mutually accountable**. As sheriff, you must lay out the goals and the methods you will use.

Ask: Ideally, what qualities should the members of your executive team have?

Responses will likely include: Good communication skills, loyal to me, trustworthy, can keep a confidence, can set ego aside for the greater good, can focus on the big picture, supportive of my leadership direction.

Note to instructor: Don’t rush this. Get a few responses (at least 5-8). Link back in to the 5 Principles of Exemplary Leadership.

Ask: How many of you have teams whose members have all of these ideal qualities?

Responses will likely include: Will vary. Some or many may say their team members do not have these ideal qualities.

Lecture: 10 minutes

Factors in determining if the sheriff has the right team members

The first question, then, is “Do I have the right people on my team?” While you may or may not be able to make immediate changes to your executive team, there are several things to consider when evaluating your team membership:

- **Commitment to the agency’s leadership direction, purpose, and goals.** Are your team members supportive of the agency’s purpose and your leadership direction?
- **Complementary skills.** Do each individual’s knowledge, skills, and talents complement those of other members and relate to the agency’s purpose and your leadership direction? Do you have a mix of types and abilities so that you can build on individual strengths and compensate for individual weaknesses? Do team members have the specific knowledge they need to lead their functional component?
- **Interpersonal competency.** Individual conflict management, listening, and verbal skills are important. Are individuals able to work well together?
- **Belief in the team approach.** Do team members believe in a team approach? While someone may be committed to the goals of the agency, they may not accept teamwork as a reasonable method for reaching that goal.
- **Mutual accountability.** Sharing accountability among team

members is essential. As a team, each member shares mutual accountability for the progress, success, and any problems that may arise.

Ask: How many of you inherited people on your team?

With that in mind, how do you put a plan in place to evaluate your team, to develop skills needed?

Sometimes, a newly-elected sheriff may place individuals on the executive team for political reasons: political allies, those who supported them in the campaign. They might want to keep certain staff from the previous administration because of their expertise in certain areas of operations. We acknowledge that individuals may end up on the executive team for reasons other than their ability to function as an effective team member.

The question is not necessarily how can I get some of these people off my team, but how can I work to make this team more effective?

Input and Guided Practice (45 minutes)

Small group exercise: 45 minutes

Criteria for evaluating team membership

When you report out, please share consequences of ‘voting people off the island’ and consequences of keeping them on the team.

Remember to have a timekeeper AND a reporter for your group.

Note to instructor: Assign each group one of five criteria for evaluating team membership. They will review their ‘criteria’ and respond to related questions – all in their participant manual. They will have **15 minutes** for the exercise and **5 minutes** to report.

Group 1:

Commitment to the agency’s leadership direction, purpose and goals

How will you know if your team members have this commitment? What are some indicators?

If any team members do not have commitment, can you change this through training, counseling, or another means? If so, what can you do and how long should you wait for the individual to demonstrate a clear and consistent behavior change?

[Depends on who they are and whether you brought them in or not. In

some cases you need to mediate, train, coach to get them on your team. If you send them off the team they could undermine what you try to do.]

If you believe this is not something that can be changed, would you vote this team member “off the island?” What might be the consequences of this?

What might be the consequences of keeping this person on your team if they cannot change?

[If you keep someone who is counterproductive, it could show that you don’t have the courage/leadership ability to get rid of them or guide them to modify their behavior.]

Group 2:

Complementary skills

How will you know if your team members have complementary skills, talents, knowledge, and work styles? How would you consider personality preferences, as we discussed related to the MBTI®?

[We could assess them informally/formally; educate selves and teams of preferences – that awareness can help team]

If your team members are mostly similar, how can you get a variety of complementary skills, talents, knowledge, work styles, and personality preferences for the team’s work?

[In a smaller agency you might have to adapt your own style. You could have a subcommittee to whom you give some of the work.]

Should you vote anyone “off the island” to make room for more diverse types of skills, talents, knowledge, work styles, and personality preferences? What might be the consequences of this?

[Start with training, counseling, etc. If that doesn’t work, vote off the island. A vote off the island might poison the water. You might need to look beyond your chain of command to other people from your organization, or someone from your community, who brings a different perspective. Clarity of purpose, clarity of roles – these are essential to have at the outset if you have a community advisory board.]

Group 3:

Interpersonal competency

How will you know if your team members have adequate conflict management, listening, and oral communication skills? What are indicators of problems?

[Observe, evaluate, listen for feedback from other employees.]

Lack of focus, conflict]

If any team member has interpersonal skills that don't meet your expectations, can you improve this through training, counseling, or other means? If so, what can you do and how long should you wait for the individual to demonstrate a clear and consistent behavior change?

[Quarterly counseling, performance plans]

If you believe this is not something that can be changed, would you vote this team member "off the island?" What might be the consequences of this?

[Disciplinary actions, move person to another position.]

What might be the consequences of keeping this person on your team if they cannot change?

[What do we tend to hire for – technical skills and abilities. Do we forget the piece about interpersonal communication, ability to work together with others? We also tend to train less in people skills—need to do more.]

Group 4:

Belief in the team approach

What indicators will tell you if a team member is not committed to team work?

[Team members argumentative, overly critical w/o offering alternatives, not taking correction, not taking assignments, not participating.]

If any team member is not committed to team work, can you change this through training, counseling, or other means? If so, what can you do and how long should you wait for the individual to demonstrate a clear and consistent behavior change?

[Get it out in the open. Reinforce benefits of the team work. From the leaders' perspective discipline might be appropriate. Have a timeline for decision-points.]

If you believe this is not something that can be changed, would you vote this team member "off the island?" What might be the consequences of this?

What might be the consequences of keeping this person on your team if they cannot change?

[undermines, poor morale for the rest, sends a message to all.]

Group 5:

Mutual accountability

What indicators will tell you if a team member does not share in the accountability for team decisions (especially, for example, if one team member opposed a group decision)?

[Lack of buy-in, blame, lack of enthusiasm, failure to take ownership, poor participation]

If any team members demonstrate an inability to share and demonstrate mutual accountability for team decisions, can you improve this through training, counseling, or other means? If so, what can you do and how long should you wait for the individual to demonstrate a clear and consistent behavior change?

[Bring awareness to the topic; clarify expectations; set a time; give short-term goals for some areas.]

If you believe this is not something that can be changed, would you vote this team member “off the island?” What might be the consequences of this?

[In some cases, even fairly quickly. Consequences – causes a problem throughout the agency.]

What might be the consequences of keeping this person on your team if they cannot change?

[Undermine the objectives of the team/sheriff]

Note to instructor: Facilitate the groups’ reports by asking if other participants have anything to add or by adding your own comments and suggestions.

Break: 10 minutes

Instructional Input (35 minutes)

Lecture: 35 minutes

Building an effective executive team

Once you have formed your executive team, how can you build these individuals into a **highly-functioning** team? We are going to examine **seven elements** of successful work teams:

1. Clarity of purpose and goals;
2. Team leadership;
3. Team membership;

4. Collaborative climate;
5. Decision-making climate;
6. Ongoing training;
7. External support and recognition;

Let's briefly look at each one of these.

Clarity of purpose and goals

Every member of the executive team should know, understand, and fully support the leadership direction as their own. This is the "big picture" purpose.

Ask: Which of the five practices of exemplary leadership does this relate to?

Response should be: *Inspire a shared vision*

The team needs a clear and agreed-upon definition of its role in relation to communicating, supporting, and achieving your leadership direction. For every project undertaken by the team, the team needs to understand the purpose, its role as a team, and the role of individual team members. Team members need to be held accountable for doing their assigned or agreed-upon work. The team needs to be held accountable for the products or results of their work.

Team leadership

You are the team leader. You have a responsibility to be sure your leadership direction is clearly established and understood by the executive team, the rest of the agency, and the community. You also have the responsibility to set the tone for team interactions, modeling and reinforcing behaviors that encourage trust, open communication, honesty, respect, innovation, team spirit, commitment to your leadership direction, and accountability. You need to *model the way*!

Also, as team leader, do you want your executive team to be passive "yes men?" Or do you want the team to continually strive for improvement, to take some risks, to challenge the traditional ways of doing business so the organization can grow and improve? If so, you need to encourage your team to *challenge the process*.

Team membership

As we discussed earlier, the characteristics of the individuals who make up your executive team contribute to its effectiveness. You should work to build on individual strengths and compensate for individual weaknesses.

Collaborative climate

The ability to work well together is a fundamental component of a successful team. Three keys to establishing a collaborative climate are 1) creating clearly defined roles and responsibilities 2) creating strong lines of communication, and 3) creating positive relationships.

You, as the leader, should establish a collaborative working relationship among team members and enable team members to share power. If you rule with an iron fist and demonstrate no faith in their ability to take on responsibilities, your executive team will not be worth much to you. In other words, you want to *enable others to act*.

Decision-making climate

It is important for you, as the sheriff, to determine how much participation is needed for a specific decision. When people are involved in decision-making, they are more likely to be committed to the decision. However, involvement also increases the difficulty in arriving at an agreement.

Sometimes, the full involvement of all team members in decision making is not necessary or may even be counterproductive. The team members need to understand that there are different decision-making approaches and that their roles will vary with each. The sheriff, as the team leader, needs to be clear with their team about the decision making approach they will use for a given situation, so the team members know what their role is. **It is important that you do not set your team up to have false expectations about their role regarding a given decision.**

Let's look at a decision-making model that shows a variety of decision styles. This model is adapted from Victor Vroom and Philip Yetton's *Normative Decision Model*. Choosing the most effective decision style for a given situation is a learned skill.

Note to instructor: Discuss the Decision-Making Model. Ask participants for examples of decisions that are appropriate for each approach.

Before your meeting you can make an agenda and note it as Inform, Discuss, and Decide. This can help clarify. And if you have a Decide item you can further clarify where on the decision making model it will fall.

Decision-Making Model

	Less Inclusion			More Inclusion
Team Leader Approach	Directive	Consultative	Collaborative	Delegative
Role of Others	None or provide some information to the decision maker	Team members gather problem-solving recommendations and suggestions from individuals or teams	Share decision-making	The team decides
Who Decides	The decision maker could be the team leader, sponsor, or board	The decision maker could be the team leader, sponsor, or board	The decision makers are the team members	Others instead of the team leader, sponsor, or board decide
How the Problem is Solved or the Decision Made	The decision maker solves the problem or makes the decision individually, using information he or she has collected.	The decision maker shares the problem with team members or relevant stakeholders to collect their ideas and suggestions.	The decision maker shares the problem with the team members and together they reach a consensus, or a majority of the team decides.	The leader delegates the decision to team members and they reach consensus or decide by majority decision.

Your role as leader of the executive team includes:

- Instructing the team about the four decision-making approaches and using them effectively;
- Using decision-making approaches appropriate to the situation at hand (MBTI preferences need to be set aside in favor of using the appropriate decision making strategy for the situation and the ability and readiness of team members in decision making);
- Demonstrating respect for decisions made by team members.

You want to work toward MORE inclusion.

You know you have a high-functioning team when you do NOT get calls/texts when you are out of the office.

Ongoing training

To build an effective executive team, you may need to provide team members with training. Training may be needed in both **team processes** such as communication, decision-making, and conflict resolution as well as in **technical and professional development**.

Are you doing intentional ongoing training?

You might pick people because they are competent, but you need to continue to develop your people.

Promote a culture of learning

If you have a team and you know someone is on their way out, you need to look to see how you can create an environment of succession.

Even if they are aging out, find a way to motivate them to continue to learn, to continue to perform—connect with their passion in some way.

External support and recognition

As the sheriff and as the team leader, you need to demonstrate that you value an environment of teamwork by setting high expectations for the executive team, instilling confidence, demanding excellence, and providing recognition for work well done.

Even at the executive level they need you as the team leader to encourage them, to compliment them, to recognize and thank them. What you want is to do that for them. What you hope is that they do that for others. They recognize, reward, acknowledge what is done by their staff.

Ask: Which of the five practices of exemplary leadership does “external support and recognition” relate to?

Response should be: *Encourage the heart.*

Guided Practice (35 minutes)

Small group exercise: 35 minutes

Building an effective executive team

Next, we’re going to ask you to take a look at situations regarding the building of effective work teams. For your assigned scenario identify which strategies could be applied to increase the effectiveness of the executive team and provide specific examples of how you could implement the strategies.

Note to instructor: Assign each table group a scenario. (There should be 5 teams.) Groups will work in the main classroom. Give them **10 minutes** to complete the exercise, then give each group **5 minutes** to report on their work.

During the reports, make sure that each group has identified at least one of the seven strategies to improve the effectiveness of the executive team and have provided specific examples of what they would do. After each group reports, ask the others if they have any comments and add your own comments, as necessary.

Remind groups to have a timekeeper, recorder, and reporter.

Scenario #1: Sheriff Garfield has been in office for six months. He has a four-person executive team. When he took office, Sheriff Garfield hired his campaign manager as undersheriff and retained the jail commander, patrol commander, and administrative commander from the previous administration. The undersheriff is hard-working and very committed to Sheriff Garfield’s leadership direction. However, he has a hard time ever admitting he is wrong or doesn’t know the answer. In

meetings, he challenges the actions of the rest of the team, makes unilateral decisions, and refuses to back down even in the face of reasoned input.

What strategies could be applied to increase the effectiveness of the executive team? Provide specific examples of how you could implement the strategies.

[Team leadership – sheriff needs to deal with this directly
Strategy – counseling, informal conversation; Collaborative climate – common goals, working together; Correction – ongoing training (bring in NSA, for example)

Ask where is this coming from? We need to look at the behavior and ask ourselves where this might be coming from. Could some of this behavior be from lack of skills/training, lack of confidence, feeling like an outsider, insecurity?

Response: lack of confidence

As you figure out how to get this person to change behavior – explore whether there is another person on the team who is better at guiding this person than you are.]

Scenario #2: Sheriff Harrison has been in office for six months. He has a four-person executive team. Except for the jail commander, the sheriff hired the executive team from outside the organization. He retained the jail commander from the previous administration, recognizing that the jail is a well-functioning unit, accredited by both the American Correctional Association and the National Commission on Correctional Healthcare. However, in executive team meetings, the jail commander responds to Sheriff Harrison's questions, comments, and concerns by telling him that she agrees with him. She provides little information and defers to other members of the team. She never raises any issues concerning the jail and avoids making decisions on jail issues raised by others. She seems to want to be left alone to run the jail.

What strategies could be applied to increase the effectiveness of the executive team? Provide specific examples of how you could implement the strategies.

[Strategies: Explain the importance of team participation; explain clarity of purpose, function, goals, expectations of the executive team. Explain to her why she is on this team – she brings something to the table. Do this one-on-one and in the team.

Ask her to conduct a jail walk-through for the rest of the team. Is there a way you can give her a role?

Go over the decision-making process in the team

Offer training

Could it be that the team climate is not welcoming to her?

Does anyone have something similar to this in your office?]	
Scenario #3: Sheriff Monroe has been in office for six months. He has a four-person executive team. When he took office, Sheriff Monroe hired his campaign manager as undersheriff and retained the jail commander, patrol commander, and administrative commander from the previous administration. Sheriff Monroe is finding that when his team concludes a meeting, everyone is on the same wave-length. However, there appears to be an informal meeting that occurs after the executive team meeting where some team members are expressing their disagreement with what was decided, and finding ways around what has been agreed upon. Sheriff Monroe is concerned that little progress is being made toward achieving his leadership direction. What strategies could be applied to increase the effectiveness of the executive team? Provide specific examples of how you could implement the strategies. [Lack of a collaborative climate; Sheriff needs to analyze how well he welcomes other ideas; Sheriff talk to each person, reemphasize expectations; Get commitment – reiterate that decisions made in the meeting are THE decisions. What is one way that you can know that you are too dominant? Response: you don't hear input and feedback that is rich and robust; you are making all the decisions Sheriff also needs to 'own' the team's decisions Everybody wants to be heard. If everyone is heard, it is more likely that you will get buy-in for the decision. Have team discussion – what are the rules by which we agree to operate. If you set this charter, then you have a place to go back to when this situation occurs.]	
Break: 10 minutes (in middle of debrief works better than right before the Independent practice)	
Scenario #4: Sheriff Jackson has been in office for six months. He has a four-person executive team. There is an on-going personality conflict between two valued members of the team, the jail commander and the patrol commander. Both team members are highly competent and very dedicated to Sheriff Jackson's leadership direction. The sheriff has spoken to both individuals and they have pledged to resolve their conflicts. However, Sheriff Jackson sees that they are "behaving" themselves only in his presence, and appear to be carrying on their grudge during the work day. The conflict seems to be spreading to the two functional areas – although each unit operates fairly well, anytime cooperation is required, there is limited success. What strategies could be applied to increase the effectiveness of the	

executive team? Provide specific examples of how you could implement the strategies.

[Refocus on goal of organization. Let them know the impact on the rest of personnel. Might bring in the command staff and let them know what's happening and the impact. Remind them of their value to the organization. Let them know consequences if this is not resolved.

Is it personality conflict where training might help them look at differences? Was there an incident long ago?

Talk to them together and individually. Might bring whole team in.

They might not be best friends, but they are both on the team, and as a team member, there are expectations for their behavior.

They are undermining your leadership direction.

You might get cooperation from only one of them.]

Scenario #5: Sheriff Arthur has been in office for six months. He has a four-person executive team. Three are from the previous administration, and one is an experienced jail administrator that Sheriff Arthur hired. Sheriff Arthur is a retired pharmacist who has no background in any of the sheriff's office functions. He thought the expertise of the first three team members would be invaluable to him. He also thought the jail administrator, whom he hired away from a very well-run jail in another county, would bring a wealth of experience and expertise in more progressive jail operations. Now, though, he realizes that the team members from the previous administration are behaving as if they have the real power in the organization. They publicly acknowledge the sheriff's concerns, ideas, and goals, but in practice they usually disregard him as someone who doesn't understand the reality of a sheriff's office. The jail administrator tries to support the sheriff, but also wants to get along with the other team members, so he is often in an awkward position on the team.

What strategies could be applied to increase the effectiveness of the executive team? Provide specific examples of how you could implement the strategies.

[The sheriff needs their help. Clarity of purpose and goals. He needs to not give away his power, but get them to help.

Team leadership – ongoing training. The sheriff needs to immerse himself in leadership training. Find out what type of leaders he has on his team, and how he needs to address them. He needs to learn how to collaborate. The sheriff needs to clarify (for himself) what his job is.

Bring in an outside consultant to work with the team.

Get people from the previous administration to show him their job.

Surround himself with others who have a strong background in/knowledge of the system.]

Ask: what are some things you've learned this afternoon about

leadership?

Responses will likely include

You can't do it alone.

You are the leader – be intentional about your executive team.

Takes work, but you can make a poor team member into a great team member with the right strategies and encouragement.

Always worth assessing upside and downside of action/inaction.

Leadership is everybody's business. It requires constant communication and a well-defined feedback loop. .

You as the sheriff must continue to look for ways to evolve your executive team.

Independent Practice/ Self-Assessment (25 minutes)

We're going to take some time now for you to complete a self-assessment worksheet, which is in your Leadership Development Plan booklet. The worksheet will ask you to consider your executive team. If you have a team, analyze both the strengths and weaknesses of the team members and the effectiveness of the team as a whole. Identify changes you can make to increase the team's effectiveness. If you don't have a team, use the information in this module to develop a strategy for selecting team members and for managing an executive team.

Closure and Evaluation (10 minutes)

Transition to next module

In our next module, we'll be looking at ethics in relation to the sheriff's office and your role as a leader.

Participant evaluation of module

Note to instructor: Give participants 5 minutes to complete the evaluation, then collect the forms.



Executive Team and Leadership Direction

Your executive team can help you:

- Refine your leadership direction into final form.
- Communicate your leadership direction.
- Develop strategies to get support for your leadership direction.
- Develop a work plan for achieving your leadership direction.



Performance Objectives

- Use five criteria for effective team membership to determine ways to evaluate and enhance executive team membership.
- Describe ways to use the seven elements of successful work teams to build a high-functioning team.



Team

What comes to mind when I say "team?"



Defining "Team"



- Two or more people with **complementary skills** who are **equally committed** to a specific performance need or goal.
- Team members **collectively agree** on a common approach and activities for achieving their goals and objectives and **hold themselves mutually accountable**.

Team Member Qualities

Ideal qualities of executive team members?



Effective team members have

- Commitment to the agency's leadership direction, purpose, and goals
- Complementary skills
- Interpersonal competency
- Belief in the team approach
- Mutual accountability



Small Group Exercise

- Discuss your group's assigned criteria for evaluating team membership
- Respond to questions that follow
- Develop a report



Small Group Debrief

- Group 1: Commitment to the agency's leadership direction, purpose, and goals
- Group 2: Complementary skills
- Group 3: Interpersonal competency
- Group 4: Belief in the team approach
- Group 5: Mutual accountability

Elements of successful work teams

- Clarity of purpose and goals
- Team leadership
- Team membership
- Collaborative climate
- Decision making climate
- On-going training
- External support and recognition

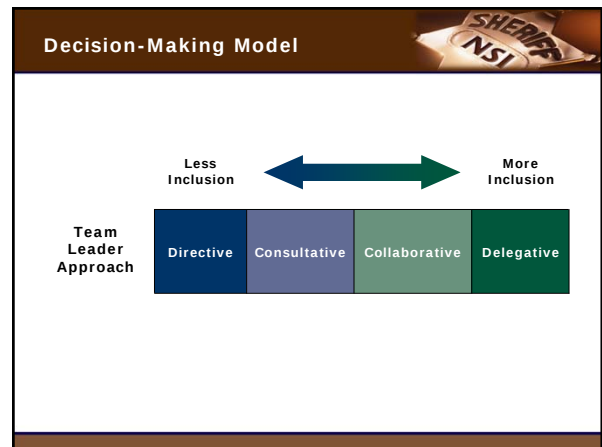


Clarity of Purpose and Goals



Team Leadership





Small Group Exercise



- Analyze your small group's assigned executive team problem
- Using the **seven elements of successful work teams**, develop strategies to improve the situation
- Develop a report



Report out on Elements of successful work teams



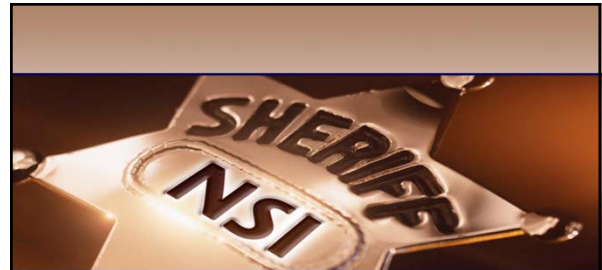
- Clarity of purpose and goals
- Team leadership
- Team membership
- Collaborative climate
- Decision making climate
- On-going training
- External support and recognition



Self-Assessment Exercise



Complete self-assessment



Evaluation and Transition

Developing Your Executive Team

Performance Objectives

- Use five criteria for effective team membership to determine ways to evaluate and enhance executive team membership.
- Describe ways to use the seven elements of successful work teams to build a high-functioning team.

Executive Team and Leadership Direction

The executive team can help you:

- Refine your leadership direction into final form.
- Communicate your leadership direction.
- Develop strategies to get support for your leadership direction.
- Develop a work plan for achieving your leadership direction.

Defining “Team”

A team is defined as two or more people with **complementary skills** who are **equally committed** to a specific performance need or goal. Team members **collectively agree** on a common approach and activities for achieving their goals and objectives and **hold themselves mutually accountable**.

Large Group Brainstorm

Ideally, what qualities should the members of your executive team have?

Criteria for Evaluating Team Membership

- Commitment to the agency's leadership direction, purpose, and goals
- Complementary skills
- Interpersonal competency
- Belief in the team approach
- Mutual accountability

Small Group Exercise

Evaluating Team Membership

Discuss your group's assigned criteria and answer the questions that follow. Prepare a report summarizing your answers and select a spokesperson.

Group 1: Commitment to the agency's leadership direction, purpose, and goals

How will you know if your team members have this commitment? What are some indicators?

If any team member does not have commitment, can you change this through training, counseling, or another means? If so, what can you do and how long should you wait for the individual to demonstrate a clear and consistent behavior change?

If you believe this is not something that can be changed, would you vote this team member "off the island?" What might be the consequences of this?

What might be the consequences of keeping this person on your team if they cannot change?

Group 2: Complementary skills

How will you know if your team members have complementary skills, talents, knowledge, and work styles? How would you consider personality preferences, as we discussed related to the MBTI®?

If your team members are mostly similar, how can you get a variety of complementary skills, talents, knowledge, work styles, and personality preferences for the team's work?

Should you vote anyone "off the island" to make room for more diverse types of skills, talents, knowledge, work styles, and personality preferences? What might be the consequences of this?

Group 3: Interpersonal competency

How will you know if your team members have adequate conflict management, listening, and oral communication skills? What are indicators of problems?

If any team member has interpersonal skills that don't meet your expectations, can you improve this through training, counseling, or other means? If so, what can you do and how long should you wait for the individual to demonstrate a clear and consistent behavior change?

If you believe this is not something that can be changed, would you vote this team member "off the island?" What might be the consequences of this?

What might be the consequences of keeping this person on your team if they cannot change?

Group 4: Belief in the team approach

What indicators will tell you if a team member is not committed to team work?

If any team member is not committed to team work, can you change this through training, counseling, or other means? If so, what can you do and how long should you wait for the individual to demonstrate a clear and consistent behavior change?

If you believe this is not something that can be changed, would you vote this team member "off the island?" What might be the consequences of this?

What might be the consequences of keeping this person on your team if he/she cannot change?

Group 5: Mutual accountability

What indicators will tell you if a team member does not share in the accountability for team decisions (especially, for example, if one team member opposed a group decision)?

If any team members demonstrate an inability to share and demonstrate mutual accountability for team decisions, can you improve this through training, counseling, or other means? If so, what can you do and how long should you wait for the individual to demonstrate a clear and consistent behavior change?

If you believe this is not something that can be changed, would you vote this team member "off the island?" What might be the consequences of this?

What might be the consequences of keeping this person on your team if they cannot change?

Elements of Successful Work Teams

1. Clarity of purpose and goals

2. Team leadership

3. Team membership

4. Collaborative climate

5. Decision-making climate

Decision-Making Model*

	Less Inclusion ←————→ More Inclusion			
Team Leader Approach	Directive	Consultative	Collaborative	Delegative
Role of Others	None or provide some information to the decision maker	Team members gather problem-solving recommendations and suggestions from individuals or teams	Share decision-making	The team decides
Who Decides	The decision maker could be the team leader, sponsor, or board	The decision maker could be the team leader, sponsor, or board	The decision makers are the team members	Others instead of the team leader, sponsor, or board decide
How the Problem is Solved or the Decision Made	The decision maker solves the problem or makes the decision individually, using information he or she has collected.	The decision maker shares the problem with team members or relevant stakeholders to collect their ideas and suggestions.	The decision maker shares the problem with the team members and together they reach a consensus, or a majority of the team decides.	The leader delegates the decision to team members and they reach consensus or decide by majority decision.

*Adapted from Victor Vroom and Philip Yetton's *Normative Decision Model*

6. Ongoing training

7. External support and recognition

Small Group Exercise

Building an Effective Executive Team

In your table groups, review your assigned scenario. Discuss the problem in terms of the seven strategies for building effective teams. Identify which strategies could be applied to increase the effectiveness of the executive team and provide specific examples of how you could implement the strategies. Prepare your answers on the chart pad and select a spokesperson.

Scenario #1: Sheriff Garfield has been in office for six months. He has a four-person executive team. When he took office, Sheriff Garfield hired his campaign manager as undersheriff and retained the jail commander, patrol commander, and administrative commander from the previous administration. The undersheriff is hard-working and very committed to Sheriff Garfield's leadership direction. However, he has a hard time ever admitting he is wrong or doesn't know the answer. In meetings, he challenges the actions of the rest of the team, makes unilateral decisions, and refuses to back down even in the face of reasoned input.

What strategies could be applied to increase the effectiveness of the executive team? Provide specific examples of how you could implement the strategies.

Scenario #2: Sheriff Harrison has been in office for six months. He has a four-person executive team. Except for the jail commander, the sheriff hired the executive team from outside the organization. He retained the jail commander from the previous administration, recognizing that the jail is a well-functioning unit, accredited by both the American Correctional Association and the National Commission on Correctional Healthcare. However, in executive team meetings, the jail commander responds to Sheriff Harrison's questions, comments, and concerns by telling him that she agrees with him. She provides little information and defers to other members of the team. She never raises any issues concerning the jail and avoids decisions on jail issues raised by others. She seems to want to be left alone to run the jail.

What strategies could be applied to increase the effectiveness of the executive team? Provide specific examples of how you could implement the strategies.

Scenario #3: Sheriff Monroe has been in office for six months. He has a four-person executive team. When he took office, Sheriff Monroe hired his campaign manager as undersheriff and retained the jail commander, patrol commander, and administrative commander from the previous administration. Sheriff Monroe is finding that when his team concludes a meeting, everyone is on the same wave-length. However, there appears to be an informal meeting that occurs after the executive team meeting where some team members are expressing their disagreement with what was decided, and finding ways around what has been agreed upon. Sheriff Monroe is concerned that little progress is being made toward achieving his leadership direction.

What strategies could be applied to increase the effectiveness of the executive team? Provide specific examples of how you could implement the strategies.

Scenario #4: Sheriff Jackson has been in office for six months. He has a four-person executive team. There is an on-going personality conflict between two valued members of the team, the jail commander and the patrol commander. Both team members are highly competent and very dedicated to Sheriff Jackson's leadership direction. The sheriff has spoken to both individuals and they have pledged to resolve their conflicts. However, Sheriff Jackson sees that they are "behaving" themselves only in his presence, and appear to be carrying on their grudge during the work day. The conflict seems to be spreading to the two functional areas – although each unit operates fairly well, anytime cooperation is required, there is limited success.

What strategies could be applied to increase the effectiveness of the executive team? Provide specific examples of how you could implement the strategies.

Scenario #5: Sheriff Arthur has been in office for six months. He has a four-person executive team. Three are from the previous administration, and one is an experienced jail administrator that Sheriff Arthur hired. Sheriff Arthur is a retired pharmacist who has no background in any of the sheriff's office functions. He thought the expertise of the first three team members would be invaluable to him. He also thought the jail administrator, whom he hired away from a very well-run jail in another county, would bring a wealth of experience and expertise in more progressive jail operations. Now, though, he realizes that the team members from the previous administration are behaving as if they have the "real" power in the organization. They publicly acknowledge the sheriff's concerns, ideas, and goals, but in practice they usually disregard him as someone who doesn't understand the reality of a sheriff's office. The jail administrator tries to support the sheriff, but also wants to get along with the other team members, so he is often in an awkward position on the team.

What strategies could be applied to increase the effectiveness of the executive team? Provide specific examples of how you could implement the strategies.

Self-Assessment

Complete the self-assessment exercise for Module 5 in your spiral-bound Leadership Development Plan (LDP). Remember to fill in

(A) Your greatest strength and

(B) Your biggest challenge

in the star under #5 in the back of your LDP.

Lesson Plan



Initiative: Leadership NSI

Program: National Sheriffs' Institute

Module 6: Power, Influence and Conflict

Time: 3 hours and 30 minutes, including two 10-minute breaks

Overview

In this module participants will assess their use of each of six power types (*Power Base Inventory*®) to influence others, then determine the most effective way to influence others' decisions and behaviors in specific situations. Participants will then explore ways to effectively use 5 different "modes" for addressing conflict. They will develop a plan to enhance their leadership effectiveness by building on their strengths and addressing their challenges associated with using both position and personal power and the various conflict modes.

Performance Objectives

After completing this module participants will be able to

- Describe the strengths and challenges associated with each of the six power bases as presented in the *Power Base Inventory*®).
- Determine the most effective power base(s) (*Power Base Inventory*®) to use to influence decisions and behavior in a range of situations.
- Describe how to facilitate resolution of different types of conflict using the five conflict modes as described in the *Thomas-Kilmann Instrument* (TKI ®).
- Create a plan for optimizing the use of the power bases and conflict modes.

Development Date: August 29, 2005

Revised: July 7, 2006; March 26, 2009;
March 4, 2010; December 1, 2010; March 8, 2012, December 2014, May 2015

Preparation

- All instructors: Take and score *Power Base Inventory*® and familiarize yourselves with the descriptions of all six power bases.
- Participants will have taken the Thomas-Kilmann Conflict Instrument online prior to training. NSA will print out and bring reports to the session
- Review Thomas-Kilmann conflict reports; create Class and Normative Overview Slide
- Have on hand the following module-specific participant supplies
 - 3x3 sticky notes, one pad for each table
 - black Sharpie pens, one for each participant
 - *Power Base Inventory*® for each participant
- Prepare and post a chart page titled “How you define power as a Sheriff”

PRESENTATION GUIDE

FACULTY NOTES

Review where we've been so far this week:

Sheriff as Leader...Leadership Direction...Self-Awareness...

Executive Team

Now: Power/Influence/Conflict

And where we're going the rest of today and this week:

Ethics...External Environment...Leading Change...

And your personal leadership development plan

Anticipatory Set (35 minutes)

Note to Instructor: In the following exercise you will give a series of instructions. It is likely that participants will readily comply for the first two or three, but then begin resisting when the instructions become meaningless to them. The questions that follow will get them to think about the use of power to get people to follow your lead.

Activity: Why do you follow the Leader?

10 minutes

Instructions to Participants:

- I'd like for all of you to stand up.
- Now please form a circle about the room.
- Clap your hands.
- Turn around in a circle three times.
- Put your hands under your arms, flap your 'wings' and quack like a duck.
- Reach out and hold the hand of the people next to you.
- And take your seats.

Ask: Why did you all follow the first instructions I gave?

Responses will likely include: They were simple and easy; you are the class instructor; everyone else did it.

Ask: At what point did you begin to question what I asked you to do?

Responses will likely include: When your instructions made no sense; when I didn't see the purpose in what you were asking; when I was

uncomfortable doing what you asked.

Ask: At what point did you refuse to follow my instructions?

Responses will likely include: When I was totally out of my comfort zone; when everyone else refused to comply; when I thought you overreached your role; when I thought you were absolutely ridiculous!

By this point in the week, **you have experienced me as your instructor** several times, and you have **learned to trust me** to give you accurate information, and to be **purposeful and reasonable** in what I ask you to do. In addition, as the class instructor, I have a certain amount of power **because of my position**: because you see me as the ‘leader’ you are apt to do whatever I ask. Standing up and getting into a circle were pretty easy tasks for you, and those are things you might expect an instructor to ask you to do. While clapping your hands probably made no sense, most – or all of you – were willing to do that because it was still in your comfort zone. But then when I asked you to turn in circles and quack like a duck you began to question why, and many/most of you either did it half way or didn’t do it at all. And then when I asked you to hold hands, that was over the top. I’m betting that if I told you the purpose, gave you a choice, explained the intended outcome, or provided you with some help, you would have been willing to follow all of my requests.

Probably everyone would agree that **as Sheriff you wield a lot of power**. And you would also likely agree that a lot of that power comes from your position. After all, you were either elected or appointed to uphold the law in your jurisdiction. While a lot of your power comes from The Office, there are other sources as well. And that’s what we’re going to work on now: **Position Power** and **Personal Power** – what’s the difference, and how can each type of power be used to help you and your staff accomplish your mission. How quickly can you lose power? In an instant. It’s less about power and more about influence.

At the beginning of the week, we discussed the sheriff as a leader, defined what a leader does, and shared **Jim Collins’ definition** of an effective leader as one who “**catalyzes commitment** to and vigorous pursuit of a clear and compelling vision, stimulating higher performance standards.” Inherent in this definition is the idea that a leader needs to **influence** their followers to pursue the vision—or what we call your leadership direction—and to achieve higher performance standards. Note the word **commitment** in the definition. While a leader does want to be articulate in the vision, getting others to pursue this vision takes commitment, not just buy-in.

This module is about **effectively and appropriately using power and influence to achieve your leadership direction**. And since power can also be both the source of and the solution to conflict, we will look at five

conflict modes and talk about how to use each to effectively address conflict.

Let's take a look at our objectives. After we complete this module you will be able to

- Describe the strengths and challenges of each of the six power bases as presented in the *Power Base Inventory*®).
- Determine the most effective power base(s) (*Power Base Inventory*®) to use to influence decisions and behavior in a range of situations.
- Describe how to facilitate resolution of different types of conflict using the five conflict modes.
- Create a plan for optimizing your use of the power bases and conflict modes.

Lecture/discussion:

Introduction to position and personal power

10 minutes

Here are **some definitions** we will consider as we examine the use of power in your role as Sheriff:

Leadership – influencing team members to do the right thing

Influence –getting people to alter their beliefs or behavior to align more closely with your leadership direction

Power – the ability to influence

We might combine these into one statement:

An effective leader is one who uses both position and personal power to influence others to do the right thing.

As you will see when we look closely at types of power, influencing others happens in a number of ways.

Ask: In one word, how would you define your power as Sheriff?

Responses will likely include: Varies

Ask: Where does this power come from?

Responses will likely include: The office itself, the voters, the community, respect for the position, respect for me as an individual.

We probably can all agree that as a sheriff, **you have power based solely on your position. Personal power** is that power you have outside your

position. It is directly related to ‘model the way,’ one of the leadership principles we talked about earlier this week. In this module you’ll have an opportunity to learn more about both position and personal power, discuss situations where different types of power are most effective, and discover **what you can do to enhance your effectiveness** as a leader by determining ways to **further develop and effectively** use all the power bases available to you.

After you individually take a look at your own use of these two types of power, we’ll work together to examine how to use each type of power in the most effective way

Activity: Power Base Inventory

15 minutes

Note to Instructor: Hand out the Power Base Inventory and ask participants to read the instructions on page 1. Pause for a moment, then ask if anyone has questions or needs clarity before continuing. Stress that there are no “right” answers. It will likely take them 10 minutes to take the inventory. Walk them through the instructions. In the instrument they are instructed to **stop at page 5. Make sure they do not begin to compute their scores for now.**

Instructional Input (60 minutes)

Lecture/Discussion: Power bases

15 minutes

Now that you have taken some time to think about how you **influence others** we’ll talk more about the six types of power referenced. You have all this information in your Inventory.

Amitae Etziane, a social psychologist, identified two sources of power—**position power** and **personal power**.

Position Power is the **formal authority to direct others’ activities, to reward or discipline others**. We described this already as the power you wield because of the position you hold. It is also the extent to which the electorate and your county policies delegate authority and responsibility to you.

Position Power is derived from:

- the position you hold
- the extent to which others are willing to delegate authority and responsibility to you
- Position power can build compliance OR can evoke resistance

Position Power

- flows down in the organization
- is the license to use rewards and sanctions with staff

***Turn to a seat partner and share with each other a time when you used position power.**

Ask: In addition to you, who in your organization has position power?

Responses will likely include: Supervisors; anyone who has the ability to issue directives, provide incentives, withhold things of value, etc. from anyone else inside or outside of the organization. This could be at any place in the org chart, not just at the top.

Personal Power, in contrast, is **developed or earned** by the leader through their knowledge, expertise, and/or goodwill. Sometimes goodwill needs to be the primary focus. Keep in mind that the sheriff needs to be building goodwill all the time.

Personal Power is the extent to which others

- respect, feel good about, are committed to you
- see their goals aligned with yours
- are willing to follow you as leader
- have trust and confidence in you
- believe you are committed to their best interests and the best interests of the organization
- can promote acceptance and commitment

***Turn to a seat partner and share with each other a time when you used personal power.**

Ask: Besides you, who else in your organization has personal power?

Response should be: Everyone!

As Sheriff, **you can increase the amount of personal power** you have by the way in which you treat staff and others with whom you work. Personal power is the extent to which you can develop or foster the trust and confidence of others. It's the cohesiveness,

commitment, and rapport developed between the Sheriff and staff, Sheriff and the public, Sheriff and other elected officials. When you overuse position power, you lose people's trust. You build that trust back by using personal power.

The model presented in the instrument you just took presents six power bases, three for position power and three for personal power. It is important to remember that no one power base is effective ALL the time, but as you will learn when you score the instrument, we each have our preferences. In order to look at this closely I'm going to have you look at each power base in pairs at your tables.

Activity: Power bases

25 minutes

Note to Instructor: Ask participants to individually review the first power base: Authority-- guide them to the corresponding page in the Power Base Inventory. Then turn to a partner at your table and take a few minutes to review and discuss that power base and discuss the 3 questions on the slide. Then ask the large group if someone has a *brief* description of that power base and a summary of their responses. Go through the same process for all the other power bases: Reward, Discipline, Information, Expertise, Reward.

Take a moment to read the information about Authority on p. ____ in your PBI, then with a partner at your table, take just a few minutes to discuss your responses to the questions on the slide. Please be prepared to report out a very brief description the power base and a summary of your responses.

In the context of your ROLE:

- 1) What are the potential strengths of using this power base
- 2) What are the consequences of over-relying on this power base?
- 3) Can you think of an example of using this power base--from your own experience (good or bad?)

Now, do Reward...with in pairs...same questions

Discipline...

Information...

Expertise...

Goodwill...

Note to Instructor: The brief descriptions here are also in the Inventory. Debrief this pairs exercise after each power base—BRIEFLY, and add

any critical points they might have missed.

POSITION POWER

Authority is based on the leader's formal right to direct team members in certain matters and on the team members' obligation to follow those directions. This power base is at work when team members feel they should obey the leader because they are the leader.

Reward is based on the leader's control over things the followers desire. This power base is at work when individuals are influenced in hopes of getting something they value in return

Discipline is based on the leader's formal right to punish a follower. This power base is at work when persons are influenced because they want to avoid some unpleasant treatment by the leader.

PERSONAL POWER

Information is based on facts or reasoning that the leader possesses and is able to share convincingly with others. This power base is at work when individuals are convinced because they can see for themselves that some course of action is best.

Expertise is based on the leader's superior judgment or knowledge in a specific area. Unlike information power, this power base does not involve the leader sharing the facts or reasons behind a decision. This power base is at work when individuals are influenced because they assume the leader knows what they are doing.

Goodwill is based on feelings of support and respect that the leader has built with team members. (This is also known as 'referent power.') This power base is at work when individuals are influenced because they want to be cooperative or supportive toward a leader they have come to like or admire.

Remember that **Collins**, in his definition of what an effective leader does, talks about catalyzing "clear **commitment to and vigorous pursuit**" of your leadership direction.

Ask: Which type of power – position or personal – is more likely to gain commitment?

Response should be: A balance of position and personal power; commitment for different reasons.

Ask: What is the difference in performance between employees who are compliant and employees who are committed to the vision?

Responses will likely include: Commitment leads to buy-in and respect for self and others; promotes teamwork or 'we are all in this together' spirit; the work itself is a reward; more likely to see the 'big picture'.

Compliance by itself sometimes happens only task by task; employees do only what is required; employees expect recognition or reward; if it's not written in policy, it doesn't happen; if no one is looking it doesn't matter; if it doesn't work, it's someone else's fault; competitiveness among staff members.

BREAK

10 minutes

Score inventory

15 minutes

Now that you know a little more about the six power bases described in the Power Base Inventory®, I'd like for you to find out what your scores mean. Please

- Complete the score sheet on page 6 by transferring information from previous pages one question at a time.
- Graph your scores on the chart on page 10. (explain)
- On page 10, note where your score falls above the normative. This may be an area of strength and/or an area where you tend to overuse this particular power base.
- On this same graph, locate where your score falls below the average. This may be a blind spot for you or a power base you rarely use—and could work to develop.
- On pages 12 – 19, read the information about the power bases for your highest and your lowest scores. Pay particular attention to the section labeled 'warning signals.'

Note to Instructor: Allow participants approximately **15 minutes** to score, graph, and read information about their inventories. Provide help as needed. Ask participants if they feel the inventory accurately identified the types of power they tend to use or feel most comfortable using. Give them time to talk about their perceived discrepancies, then remind them that there are no right or wrong answers and that the Inventory is used to give them feedback on their behavior. Debrief by asking the questions that follow. Pause for a moment after each to give them time to reflect and jot down a few notes, then ask for a few volunteers to respond. There are no "Possible" answers given as they will vary with each person's experience.

Debrief:

5 minutes

Ask: What surprised you?

Ask: How did the Inventory and the information about your high and low scores confirm what you already believed about your use of power?

Ask: Where do you need to 'stretch'?

The power base you use most often is probably the one with which you are most comfortable, the one you tend to use both consciously and unconsciously. But it is very important for the leader to assess each situation in which they want to exert influence and determine which power base would be most effective.

Let's take a look at several scenarios and see how these choices might look in a work setting.

Guided Practice (35 minutes)

Small group exercise: Power Bases

30 minutes

Note to Instructor: Divide the class **into four groups**. Refer participants to the exercise in the participant manual (shown below). Circulate among the groups as they work – clarify or redirect as necessary. Allow **10 minutes** for the groups to read, discuss and respond, and **15 minutes total** for all reports. Facilitate each group's report by asking others if they have comments and by adding your own comments, as necessary. Be sure to correct any mis-information given. In some cases even though one power base might be most appropriate, another choice could work. In each scenario there are power bases that definitely would not be appropriate. For example, when working with a community group or with leaders of other organizations, the Sheriff might want to use Goodwill, Information, Expertise to influence others' decisions, and there might be some situations where he would use Reward, but the Sheriff would definitely not use Discipline or Authority.

Scenario #1:

Sheriff Pierce has been in office for six months. During this time, he and his executive team have defined a new leadership direction for the sheriff's office, which includes being more active in crime prevention. As one step in achieving his leadership direction, the sheriff wants to implement a new gang intervention program which would require one new full-time deputy position. Sheriff Pierce wants to influence the county commissioners to approve a budget increase to fund the position. The sheriff's office has received no increases over the last four years. Sheriff Pierce knows that his predecessor had an adversarial relationship with the commissioners; in fact there was virtually no communication between the sheriff's office and the county commissioners, except when the sheriff submitted his annual written budget request form.

Which of the six power bases should he use? And why?

Scenario #2:

Sheriff Van Buren has been in office for six months. During that time, he and his executive team have defined a new leadership direction for the office that includes increased cooperation between the sheriff's office and local criminal justice agencies. One issue has been the fact that all six arresting agencies currently must transport intoxicated arrestees to the detox center in the next county. Sheriff Van Buren believes that the sheriff's office should take on all transports. In return, the other police agencies will contribute funds towards additional staffing. However, sheriff's office transport staff is extremely resistant to the change – they believe that their work load has been unfairly increased.

Which of the six power bases should he use? And why?

Scenario #3:

Sheriff Taylor has been in office for six months. During that time, he and his executive team have defined a new leadership direction for the sheriff's office that includes enhanced risk management. Specifically, the sheriff wants to reduce the number of lawsuits concerning jail medical services. One problem has been the lack of cooperation and communication between the sheriff's office and the local hospital. The hospital emergency room often makes arresting officers wait hours for arrestees to be seen and inmates are frequently returned to the jail from the hospital with no information regarding their medical status or needs.

Which of the six power bases should he use? And why?

Scenario #4:

Sheriff Wilson has been in office for six months. During that time, he and his executive team have defined a new leadership direction for the sheriff's office that includes creating a more positive image in the community. One problem is that members of the public conducting business at the sheriff's office frequently must wait for extended periods of time to be helped. Supervisors have openly stated that they view walk-in business as their last priority. Sheriff Wilson wants these supervisors to change their priorities and place emphasis on responsiveness to walk-in traffic.

Which of the six power bases should he use? And why?

Note to instructor: Ask each group to report out by reading their scenario and sharing what the group decided about use of power base. Facilitate the discussion – although there is more than one right answer, there ARE some undesired answers. Clarify and make corrections as needed.

As you think about ways to bring balance to your use of both position and personal power, here are some principles to keep in mind:

Principles of Power:

- **Jointness of Supply** – There is enough to go around. Empowering others does not diminish my power. An example of this is enjoying a sunset. I can enjoy the sunset all by myself; if I share this with others, it does not diminish my enjoyment.
- **Trust account** - There is a 'Trust' account that builds up slowly over time. As you pick and choose the power bases you want to use, you are building trust. Lack of balance, or over-relying on one or two power bases, can diminish that trust.
- **Power is Cumulative** – Appropriate or balanced use of all power bases adds up to more power.
- **Appropriate amount for situation** - Use the appropriate amount of power for the situation.
- **Be intentional** about what power sources you use for which situations
- **Empower others** - this is the chief role of the leader.

Transition to Conflict

By balancing your use of both position and personal power you are increasing people's level of trust and confidence in you as a leader, and in turn, you are helping your staff develop trust in each other and in their own ability to make good decisions. This increased trust in and of itself reduces the likelihood of conflict. But we all know that in the real world conflict happens. After we take a break you will have another opportunity to assess your own style, this time looking at how you typically handle conflict.

Anticipatory Set (5 minutes)

Ask: What is one word you think of when you hear the word conflict? Write this word on your post-it note and post in the front of the room.

Note to instructor: Sort the post-it notes on the chart paper into positive and negative words.. Most likely all of them are negative. If not, highlight those that are negative and comment on the primarily negative connotation of the word conflict, or the concept of conflict.

Responses will likely include: argument, disagreement, confrontation, anger, contest, struggle, opposition, difference of opinion, power struggles.

It sounds like we all get a pretty good picture in our minds when we hear

the word. It will be helpful as we talk about sources and methods of dealing with conflict if we are clear about what we mean. Here is a definition that we will use in our work together:

In the **Thomas-Kilmann Conflict Mode Instrument** you read: Conflict situations are situations in which the concerns of two people appear to be incompatible.

Conflict occurs when one party perceives that their values, interests, needs, ideas or styles are or are likely to be thwarted or denied. It can be rooted in everything from misunderstanding to actual offenses or violations of agreements, policies or laws.

Unaddressed conflict can lead to frustration, anger, disappointment, confusion, embarrassment, fighting, and retaliation.

Ask: What are some sources of conflict in your work as Sheriff?

Responses will likely include: disagreements, issues of control, scarcity of resources, misunderstanding, difference in opinion about or perception of a situation

Ask: When is conflict problematic?

Responses will likely include: When disagreements are not aired; when one party is not, or does not feel listened to; when decisions are made without input; when people are, or feel, punished for disagreeing, when only one viewpoint or opinion is acceptable, when conflict leads to problem behavior (passive-aggressive, aggressive, withdrawal, poor performance).

Ask: Are there some benefits to conflict? If so, what are some of them?

Responses will likely include: Creative solutions are developed; when all sides are heard the level of trust is raised; the team is made stronger by going THROUGH conflict instead of AROUND it; higher energy; motivation

Ask: Imagine for a moment that there was a work environment with absolutely no conflict at all. (Pause). What do you see?

Responses will likely include: Lots more productivity; 'heavenly;' would love to work there; I would have more energy.

Ask: Really? Think a bit more.

Responses should include: Low energy; lack of motivation; difficulty implementing change; less innovation; turnover – key leaders and implementers get bored and leave.

A butterfly actually has to break out of its cocoon on its own and use the energy to get out in order to live. If you break open the cocoon for it, the butterfly will die. While the process looks painful, it is necessary in order to live.

The benefits, of course, can only be realized when and if the conflict is addressed early on, and addressed in a way that respects all parties involved and is handled from a place of learning and organizational growth vs. a place of anger and frustration.

Instructional Input (35 minutes)

Lecture/Discussion:

Understanding our conflict modes

15 minutes

Prior to the training all of you took the Thomas-Kilmann Conflict Mode Instrument; we will hand out your scoring report in a few minutes for your review. But first let's take a look at the 5 conflict modes.

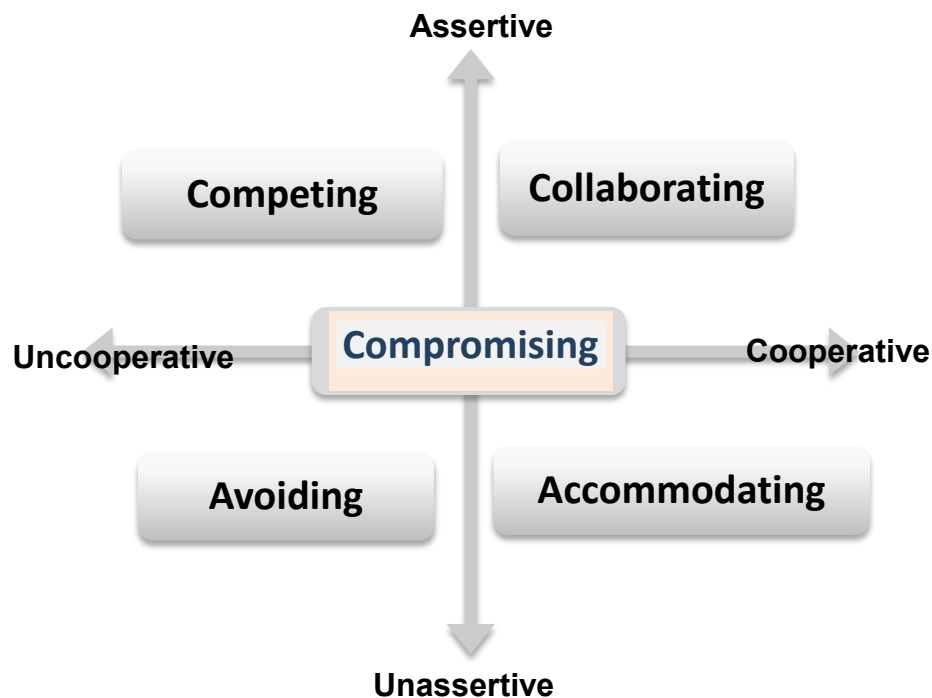
In the TKI, a person's behavioral response to conflict situations is described using two basic dimensions:

Assertiveness: the extent to which an individual attempts to satisfy his own concerns and focuses on more task orientation.

Cooperativeness: the extent to which the individual attempts to satisfy the other person's concerns and focuses more on people orientation.

Note to instructor: On chart paper, draw the vertical and horizontal axes and use these to demonstrate as you describe the conflict modes. After you describe each mode, ask participants to think about when this mode has worked well for them and when it has created challenges for them. They have a blank grid in their PM on which they can make notes as you describe the five modes.

As with the Power Bases, there is no one correct or best mode, but each person does have preferences for how they deal with conflict. The key for a good leader is to learn how to look at a situation and then choose the mode that is most helpful rather than using your default mode every time. Let's look at each of the five modes described in the TKI.



Competing is all about a person pursuing their own concerns or goals at the other person's expense. Think about competition in sports. The individual or team playing wants to win.

Ask: When do you think this mode might be most appropriate in your work?

Responses will likely include: When there is a crisis or emergency and there's not time to listen to other opinions.

On this grid, competition is in the 'assertive/uncooperative' section. You make the decision and expect others to cooperate with you.

Collaborating, while still assertive, is in the cooperative section of the grid. Think about times when you have collaborated with others to gain their cooperation with your direction. The mistake with a lot of leaders is to assume that collaborating is always the best mode since it is high cooperative and high assertive. However, this is not the best mode to use all the time.

Ask: When does this mode work well?

Responses will likely include: When you need to get the other person or group on board with you, when you need to know their concerns and

issues in order to achieve your goal, when you are likely to run into a brick wall if you insist on your own way.

Ask: When would you NOT want to consider collaboration?

Responses will likely include: When a decision has to be made quickly;

Right in the middle you see Compromising.

Compromise means you are somewhat assertive but you want to listen to the other person's viewpoint. And you are somewhat cooperative but not to the extent that you are willing to give up what you want.

Ask: When does compromise work well?

Responses will likely include: When you want to avoid a win/lose situation; when opinions/goals differ and both parties are strongly attached to their own view or way; when collaboration hasn't worked and compromise is less disruptive than continued or escalating conflict.

Avoiding is in the bottom left corner: non-assertive and uncooperative. This doesn't sound like an option a Sheriff would choose very often. But there might be some situations where it is the best option.

Ask: When would avoiding be the best mode to address a conflict?

Responses will likely include: When you don't perceive that the situation is worth your time or energy; when other situations are more pressing; when others can resolve the issue and you don't need to be involved. When you want to empower others to solve their own conflict. The key is to be intentional instead of avoiding for the wrong reasons.

And last we have

Accommodating: unassertive and cooperative. Or in other words, you let the other person or party decide, or let them have their way.

Ask: When would this be an important conflict mode to use?

Responses will likely include: When you realize that you are wrong – maybe you didn't have all the information, or maybe you heard a viewpoint you hadn't considered before.

Note: The **Kraybill Conflict Style Inventory** labels the vertical (assertiveness) axis as being the importance of the task or your interest and the horizontal (cooperativeness) axis as being the value of the relationships/people involved, which can also be a helpful way of looking at this model.

BREAK

10 minutes

Individual Review of Scores

10 minutes

Note to instructor: Hand out their reports and give them 10 minutes to review.

Activity: Pair Share of Scores

10 minutes

Now that you have reviewed your scores, I'd like you to take some time to talk with another person about what you learned. Please pair up with someone at your table and use the questions on the slide to talk about your conflict mode preferences:

1. What confirmed what you already knew?
2. What surprised you?
3. Which is or are your strongest mode(s)? How does that work for you – strengths and challenges?
4. Which is your least used mode? If you build more muscle in your least-used modes, what would be different?

Mode	Advantages	Disadvantages	Uses
Competition	• Stay focused • Motivated by challenge	• Issues become all or nothing • Alternatives not evaluated	• Sports • Litigation
Avoidance	• Allows tempers to cool • Not all issues need to be confronted	• Significant conflicts can be ignored	• In heated emotional issues • When conflict is someone else's
Accommodation	• Allows achievement of short-term goals • Effective with important deadlines	• Breeds resentment • Destroys creativity • May engender power struggles	• To exchange for future benefits • When you are wrong
Compromise	• Allows for resolution of competitive disputes • Allows for closure	• Can bring about a mediocre solution • Does not promote creativity	• When it is the only way to effect change • To foster cordiality
Collaboration	• Promotes problem-solving • Ferrets out hidden agendas	• Takes time • Cumbersome in emergencies	• In long-term personal relationships and work teams • When issues are too important to compromise

Guided Practice (30 minutes)

I'm going to ask you to use information from your Power-Base Inventory and from your Thomas-Kilmann Conflict Instrument to talk about how you might address a particular work situation.

Each group will have a different type of conflict situation to work with.

Note to instructor: Give each group one of the following types of conflict to work with:

1. Conflict among two of your staff members
2. Conflict you have with another member of your staff
3. Conflict with other elected officials
4. Conflict with other law enforcement individuals or agencies
5. Conflict within the Community

At your tables, take 5 minutes to share information about a conflict that has occurred, or that you could imagine occurring, in your work setting that is specific to your table's assignment. Pick one of those examples to work with.

Now I'd like for you to take 10 minutes to

- Develop a brief conflict scenario.
- Determine which power base(s) and which conflict mode(s) would be best to address the situation.
- Prepare to report out: group reporter will read the situation and explain your approach.

Note to instructor: After the groups have completed their task, facilitate **very brief** group report-outs. Listen for ways they determine to use power and conflict modes and give feedback as needed. Ask other groups to give feedback. [Note that there will be a total of 20 minutes for report-outs and discussion, so keep each group report to approx. 3 min.]

Self-Assessment (15 minutes)

We're going to take some time now for you to complete the self-assessment worksheet in your Leadership Development Plan booklet.

In your manual, use the worksheet to consider a recent situation in your office in which you wanted to influence an individual or group in order to accomplish a goal. What power bases did you use to influence others? Was this effective? Are there other power bases that might have been more effective? Next, consider an upcoming situation in which you know you will need to influence others to accomplish a specific goal. What power bases do you think will be most effective in influencing these individuals?

Think about a situation at work, either in your internal or your external environment, where there has been conflict OR where you see the potential for conflict. Make a few notes about how you can use what you have learned this morning to approach this situation when you return.

Closure/Evaluation (10 minutes)

Transition to next module

Whether power is used to manipulate and bully or to build consensus and agreement depends on the values and ethics of an individual. Having and adhering to a clearly articulated set of values and ethics is the best safeguard against abuse of power.

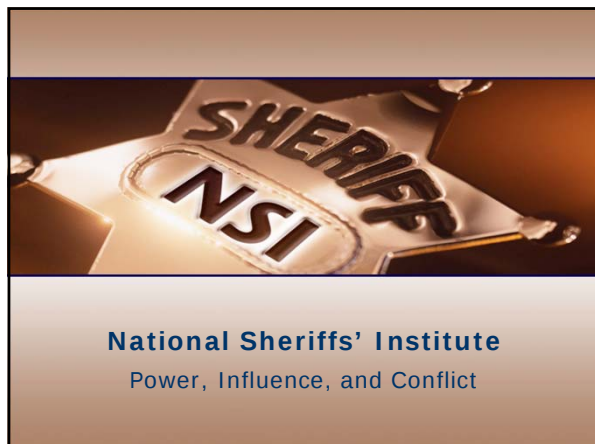
Many of you may know of abuses of power by sheriffs or their staff in your states. This clearly is an ethical issue, and, while the abuse of power might get a sheriff some short-term gains, ultimately, everyone loses. The sheriff, their staff, and the Office of Sheriff itself will lose credibility and the faith of the community. And with those losses, the sheriff cannot effectively carry out the mission of the Office or achieve what might have been their official leadership direction.

It is important to be aware when you, or those with authority in your organization, are not exercising power appropriately and within the framework of the stated ethics and values of your organization.

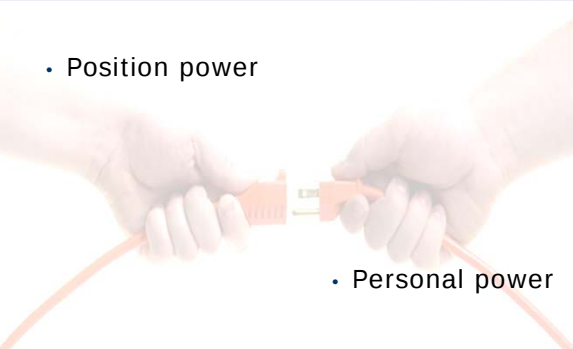
We will address these challenges and concerns in the next module on Ethics.

Participant evaluation of module

Note to instructor: Give participants 5 minutes to complete the evaluation, then collect the forms.



Sources of Power



- Position power
- Personal power

Performance Objectives



- Describe the strengths and challenges of each of the six power bases as presented in the *Power Base Inventory®*.
- Determine the most effective power base (*Power Base Inventory®*) to use to influence decisions and behavior in a range of situations.

Performance Objectives



- Describe how to facilitate resolution of different types of conflict using the five conflict modes.
- Create a plan for optimizing your use of the power bases and conflict modes.

POWER: what is it?



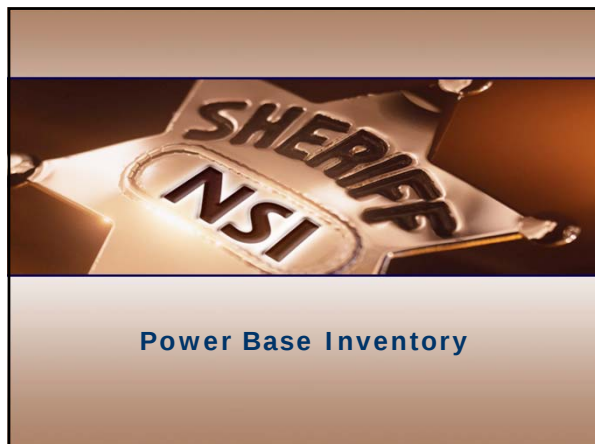
Leadership – influencing team members to do the right thing

Influence –getting people to alter their beliefs or behavior to align more closely with your leadership direction

Power – the ability to influence

An Effective Leader

uses both
position and personal power
to influence others
to do the right thing




Position Power

- **Position Power** is derived from:
 - the position you hold
 - the extent to which others are willing to delegate authority and responsibility to you
- **Position Power**
 - flows down in the organization
 - is the license to use rewards and sanctions with staff



Personal Power

Personal Power is developed/earned through leader's knowledge, expertise, goodwill.

It is about

- Respect and commitment
- Aligned goals
- Trust and confidence
- Belief that leader is committed to interests of others and the organization




Influence Effects

Position Power Compliance OR Resistance 	 Personal Power Acceptance Commitment
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Pairs Exercise

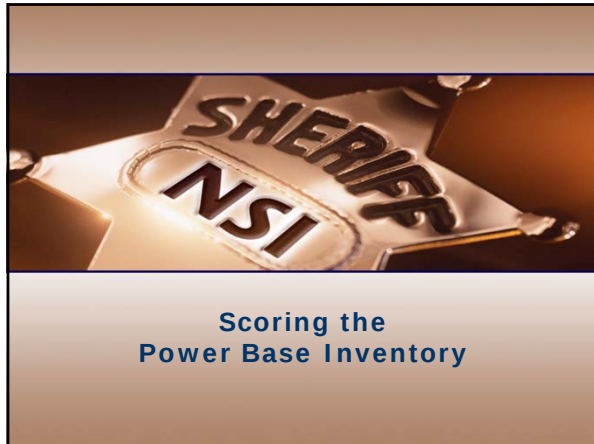
For each Power Base, in the context of your role, discuss (in pairs):

- the potential strengths of using this power base
- the consequences of over-relying on this power base
- think of an example (good or bad)




Power Base Debrief

- **Position power**
 - Authority
 - Reward
 - Discipline
- **Personal power**
 - Information
 - Expertise
 - Goodwill




Scoring the PBI

- Complete the score sheet on page 6 by transferring information from previous pages.
- Graph your scores on the chart on page 10. Note where your score falls above or below the average.
- On pages 12 – 19, read the information about the power bases for your highest and your lowest scores. Pay particular attention to the section labeled 'warning signals.'



Small Group Exercise

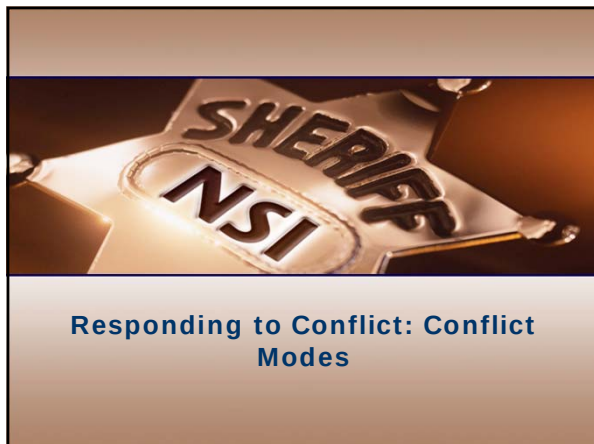
For your group's assigned situation:

- Discuss the situation
- Determine the most effective power bases for the sheriff to use
- Develop a brief report



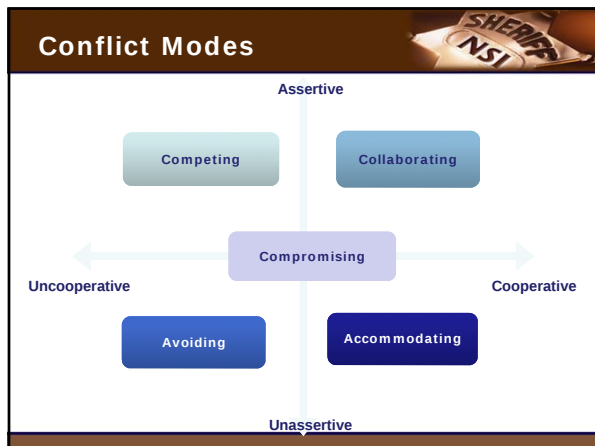

Principles of Power

- There's enough to share: jointness of supply
- Build a trust account
- Remember that power is cumulative
- Use appropriate amount for situation
- Intentionally select power base
- Empower others


What is one word you think of when you hear **CONFLICT**?





Conflict Modes

Mode	Advantages	Disadvantages	Uses
Competition			
Avoidance			
Accommodation			
Compromise			
Collaboration			

Use Competition for

- Sports and litigation
- Quick decisive action
- Unpopular important actions

Use Collaboration when

- There is a need for commitment
- The objective is to learn
- You need to work through hard feelings

Compromise is essential when

- Strong commitment to mutually exclusive goals is important
- The issue is complex
- There is time pressure

Avoiding is useful when

- The issue is not so important
- Others can resolve the issue without your help
- You want to empower others

Accommodating is best when



- You realize you were wrong
- The issue is more important to the other person
- You want to preserve harmony
- Employees need to learn from mistakes



Pair-Share



1. What confirmed what you already knew?
2. What surprised you?
3. Which is your strongest mode(s)? How does that work for you: strengths and challenges?
4. Which is your least used mode?
5. If you build more muscle in your least-used mode, what would be different?



Small Group Exercise



Groups:

1. Conflict among two of your staff members
2. Conflict you have with another member of your staff
3. Conflict with other elected officials
4. Conflict with other law enforcement individuals or agencies
5. Conflict within the Community

Small Group Exercise



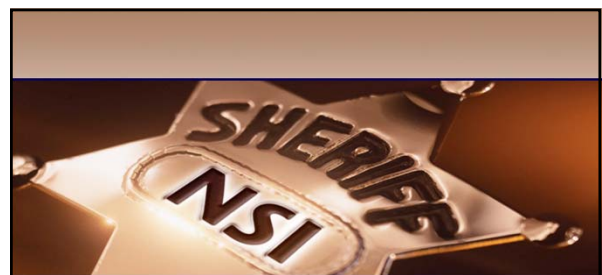
1. Develop a scenario for your conflict situation
2. Determine best power base(s) conflict mode(s) to address the situation
3. Prepare to share: situation and approach



Self-Assessment Exercise



Complete self-assessment



Evaluation and Transition

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Power, Influence, and Conflict

Performance Objectives

- Describe the strengths and challenges of each of the six power bases as presented in the *Power Base Inventory*®).
- Determine the most effective power base(s) (*Power Base Inventory*®) to use to influence decisions and behavior in a range of situations.
- Describe how to facilitate resolution of different types of conflict using the five conflict modes, based on the *Thomas-Kilmann Conflict Modes Instrument*® you completed prior to this class.
- Create a plan for optimizing your use of the power bases and conflict modes.

Power Defined

Power is:

An effective leader is one who uses both position and personal power to influence others to do the right thing.

Power Base Inventory®

The Power Base Inventory® was developed by Kenneth W. Thomas and Gail Fann Thomas. The inventory has 30 pairs of statements. For each pair, circle the statement that better explains why people in your organization might be influenced by you in a given situation. In some instances, you may feel that neither statement is accurate. In these cases, select the statement that is more likely to be true. When you are finished circling your answers, set the instrument aside. We will score the instrument later in the module.

Power Bases	
Position Power	Personal Power
• Authority • Reward • Discipline	• Information • Expertise • Goodwill

Sources of Power

Position Power

Personal Power

Influence Effects

- Use of **position power** usually results in performance of activities (**compliance**) or may result in **resistance if not balanced with personal power**.
- Use of **personal power** usually results in both an acceptance of the purpose and performance of the task (**commitment**).

Power Bases

Position Power

- **AUTHORITY** is based on the leader's formal right to direct others in certain matters and on others' obligation to follow those directions.
 - Individuals feel they should obey the leader because he or she is the leader.
- **REWARD** is based on the leader's control over things the followers desire.
 - Individuals are influenced in hopes of getting something they value in return.
- **DISCIPLINE** is based on the leader's formal right to punish a follower.
 - Individuals are influenced because they want to avoid some unpleasant treatment by the leader.

Power Bases

Personal Power

- INFORMATION is based on facts or reasoning that the leader possesses and is able to share convincingly with others.
 - Individuals are convinced because they can see for themselves that some course of action is best.
- EXPERTISE is based on the leader's superior judgment or knowledge in a specific area. Unlike information power, this power base does not involve the leader sharing the facts or reason behind a decision.
 - Individuals are influenced because they assume the leader knows what he or she is doing.
- GOODWILL is based on feelings of support and respect that the leader has built with team members.
 - Individuals are influenced because they want to be cooperative or supportive toward a leader they have come to like or admire.

Pairs Exercise—for each Power Base

For each Power Base, review the relevant information on pages 12-19 in your PBI, discuss with a partner at your table, then answer the following:

- 1) What are the potential strengths of using this power base?
- 2) What are the consequences of over-relying on this power base?
- 3) Can you think of an example of good or poor use of this power base?

Scoring the Power Base Inventory®

1. Complete the score sheet on page 6 by transferring information from previous pages one question at a time.
2. Graph your scores on the chart on page 10.
3. On page 10, note where your score falls above the normative. This may be an area of strength and/or an area where you tend to overuse this particular power base.
4. On this same graph, locate where your score falls below the average. This may be a blind spot for you or a power base you rarely use—and could work to develop.
5. On pages 12 – 19, read the information about the power bases for your highest and your lowest scores. Pay particular attention to the section labeled 'warning signals.'

Group Exercise

Power Bases

For your group's assigned situation, identify the most effective power base(s) for the Sheriff to use. Write the key points of your discussion on chart paper and select someone to report out for your group.

Scenario #1

Sheriff Pierce has been in office for six months. During this time, he and his executive team have defined a new leadership direction for the sheriff's office, which includes being more active in crime prevention. As one step in achieving his leadership direction, the sheriff wants to implement a new gang intervention program. The program requires one new full-time deputy position. Sheriff Pierce wants to influence the county commissioners to approve a budget increase to fund the position. The sheriff's office has received no increases over the last four years. Sheriff Pierce knows that his predecessor had an adversarial relationship with the commissioners; in fact there was virtually no communication between the sheriff's office and the county commissioners, except when the sheriff submitted his annual written budget request form.

Which of the six power bases should he use? Why?

Scenario #2

Sheriff Van Buren has been in office for six months. During that time, he and his executive team have defined a new leadership direction for the office that includes increased cooperation between the sheriff's office and local criminal justice agencies. One issue has been the fact that all six arresting agencies currently must transport intoxicated arrestees to the detox center in the next county. Sheriff Van Buren believes that the sheriff's office should take on all transports. In return, the other police agencies will contribute funds towards additional staffing. However, sheriff's office transport staff is extremely resistant to the change – they believe that their work load has been unfairly increased.

Which of the six power bases should he use? Why?

Scenario #3

Sheriff Taylor has been in office for six months. During that time, he and his executive team have defined a new leadership direction for the sheriff's office that includes enhanced risk management. Specifically, the sheriff wants to reduce the number of lawsuits concerning jail medical services. One problem has been the lack of cooperation and communication between the sheriff's office and the local hospital. The hospital emergency room often makes arresting officers wait hours for arrestees to be seen and inmates are frequently returned to the jail from the hospital with no information regarding their medical status or needs.

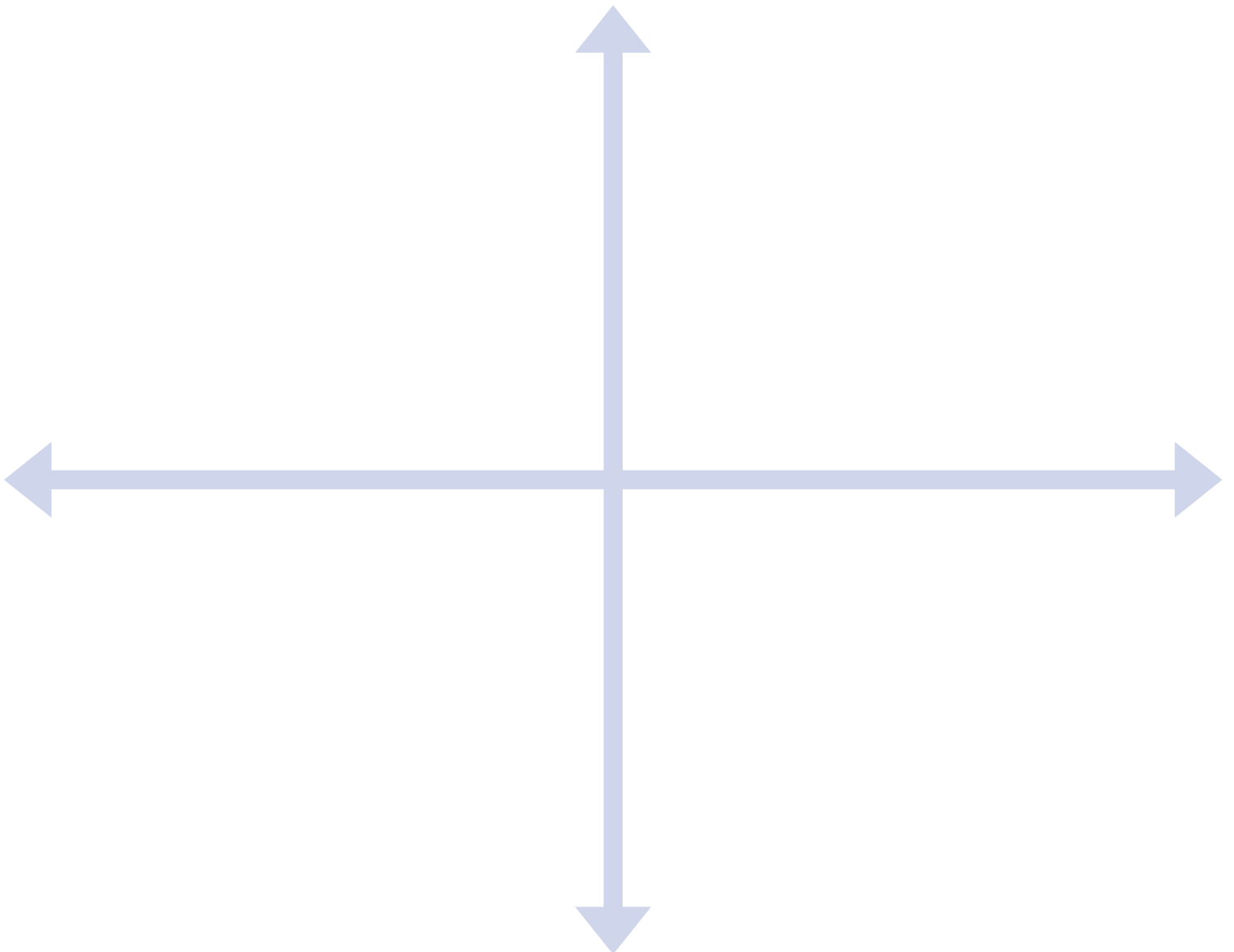
Which of the six power bases should he use? Why?

Scenario #4

Sheriff Wilson has been in office for six months. During that time, he and his executive team have defined a new leadership direction for the sheriff's office that includes creating a more positive image in the community. One problem is that members of the public conducting business at the sheriff's office frequently must wait for extended periods of time to be helped. Supervisors have openly stated that they view walk-in business as their last priority. Sheriff Wilson wants these supervisors to change their priorities and place emphasis on responsiveness to walk-in traffic.

Which of the six power bases should he use? Why?

Conflict Modes Note-taking Guide



Thomas Kilmann's Conflict Modes

<u>Mode</u>	<u>Advantages</u>	<u>Disadvantages</u>	<u>Uses</u>
Competition	- Stay focused - Motivated by challenge	- Issues become all or nothing - Alternatives not evaluated	- Sports - Litigation
Avoidance	- Allows tempers to cool - Not all issues need to be confronted	Significant conflicts can be ignored	- In heated emotional issues - When conflict is someone else's
Accommodation	- Allows achievement of short-term goals - Effective with important deadlines	- Breeds resentment - Destroys creativity - May engender power struggles	- To exchange for future benefits - When you are wrong
Compromise	- Allows for resolution of competitive disputes - Allows for closure	- Can bring about a mediocre solution - Does not promote creativity	- When it is the only way to effect change - To foster cordiality
Collaboration	- Promotes problem-solving - Ferrets out hidden agendas	- Takes time - Cumbersome in emergencies	- In long-term personal relationships and work teams - When issues are too important to compromise

Conflict Mode	Notes
Competition	
Avoidance	
Accommodation	
Compromise	
Collaboration	

Pair Share:

Please pair up with someone at your table and use these questions to talk about your conflict mode preferences:

- 1) What confirmed what you already knew?
- 2) What surprised you?
- 3) Which is or are your strongest mode(s)? How does that work for you – strengths and challenges?
- 4) Which is your least used mode? If you build more muscle in your least-used modes, what would be different?

Group Activity:

Your group will be assigned one of these conflicts:

Group 1. Conflict among two of your staff members

Group 2. Conflict you have with another member of your staff

Group 3. Conflict with other elected officials

Group 4. Conflict with other law enforcement individuals or agencies

Group 5. Conflict within the Community

Share information about a recent or potential conflict in your work setting that is specific to your group's assignment.

Work together to:

- Develop a brief conflict scenario
- Determine which power base(s) AND which conflict mode(s) would be best to use.
- Prepare to report out: group reporter will read the situation and explain your approach

Self-Assessment:

- Complete the Self-Assessment for this Module in your Leadership Development Plan.
- Don't forget to record your Strength and Challenge on your "star."

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Lesson Plan

Initiative: Leadership NSI	
Program: National Sheriffs' Institute	
Module 7: Ethics	Time: 3 hours including two 10-minute breaks

Overview

This module focuses on ethics and includes:

- A discussion of the effect of unethical behavior on the sheriff's ability to lead;
- An overview and definition of "ethics";
- A video presentation titled "Compliance is not Enough;"
- An examination of ethical challenges common to the Office of Sheriff;
- An individual exercise where participants complete a self-assessment related to concepts presented in class.

Performance Objectives

- List potential consequences of unethical behavior by a sheriff
- Identify ethical challenges commonly encountered by sheriffs.
- Generate ideas for strategies to address the identified challenges

Preparation

DVD: *Compliance is Not Enough* (ethical decision making)

Update Headline slides for each class offering to ensure current situations.

Development Date: August 29, 2005
Revised: July 7, 2006; March 26, 2009;
March 4, 2010; December 1, 2010, February
2015, May 2015

PRESENTATION GUIDE	FACULTY NOTES
Anticipatory Set (15 minutes) Large group discussion: 10 minutes Examples of ethics violations by sheriffs We're going to take a look at some headlines involving sheriffs and ethical violations.	
Note to instructor: Show each slide briefly—allowing enough time for participants to read the headlines. There should be no discussion of the slides until after all slides are shown.	
Ask: What were some of the real and likely consequences of decisions these Sheriffs made?	
Note to instructor: As the participants respond, encourage them to consider how these behaviors affect the sheriff's ability to lead, the sheriff's ability to serve the community, the public's faith in the Office of Sheriff in the individual jurisdiction, and the public's view of the Office of Sheriff generally.	
Responses will likely include: • The sheriff served time in prison • The staff lost faith in the sheriff • Staff would not see sheriff as a worthy leader • Sheriff lost credibility with his staff • Sheriff lost his ability to accomplish anything during his term of office • The community lost trust in the sheriff's office • Gives credence to those who advocate to replace the Office of Sheriff with a law enforcement professional hired by county officials Lecture: 5 minutes Effect of unethical behavior on leadership, review of performance objectives We can see, then, that unethical behavior within the sheriff's office can have significant repercussions both inside and outside the office. Given all this, how is it possible that a sheriff who demonstrates unethical behavior can be an effective leader? If he has no credibility, how can he convince others to believe in his leadership direction and be committed to achieving that?	

Module 7 – Ethics

This module will focus on ethics and your role as a leader. Ethics is a core issue for public officials, and the public is highly sensitive to any unethical behavior it discovers on the part of those who have been given the public trust. The Office of Sheriff, focused as it is on law enforcement, is expected to be beyond reproach, to be impeccable in upholding the highest ethical standards. Your behavior, and that of your staff, is closely watched by the community.

Let's look at the performance objectives for this module.

- List potential consequences of unethical behavior by a sheriff.
- Identify ethical challenges commonly encountered by sheriffs.
- Generate ideas for strategies to address the identified challenges.

Instructional Input (85 minutes, including one 10-minute break)

Lecture: 10 minutes

Overview of ethics

Sheriffs and their employees are responsible for law enforcement and public safety. Virtually all actions of the sheriff's office and its employees have ethical ramifications.

Turn to another person at your table and come up with one or two examples of a behavior that is legal, but unethical.

Note to instructor: Give them 2 – 3 minutes to talk, then ask for a few responses – no need to hear from everyone.

Responses will likely include:

- In some cases, telling a lie
- Showing favoritism
- Releasing information harmful to an opponent

“Ethics” can be defined as those **standards that guide our decisions regarding right and wrong behavior**. Our ethics anchor our sense of personal and professional integrity.

Unethical behavior usually involves the **abuse of trust and position** where individuals impose their own private judgment or interests in place of behavior that should be bound by legal, professional, or accountable standards of action. We can see this in the headlines we just discussed.

Module 7 – Ethics

When we hold positions of authority and responsibility, we make explicit or implicit promises to frame our judgments and actions in a way that matches the ethical standards of our profession or position. The individuals we lead and serve rely on us to consistently make judgments and take action in a way consistent with those standards. Think about the headlines. Would it be an exaggeration to say that the sheriffs' behavior constituted a profound betrayal of the trust placed in them by the people they worked with and served?

To be ethical one requires the capacity to hold beliefs, deliberate upon them, and have the courage and fidelity to act upon them. At its core, being ethical assumes that **morally mature** human beings possess enough **self discipline to accept responsibility and act upon it** despite distractions and temptations.

Ethical behavior requires that:

- Individuals accept responsibility for their actions.
- Individuals act with self-discipline.
- Individuals reflect upon their actions and act on the basis of reasoned reflection. This means that individuals undergo thoughtful consideration before acting.
- Individuals deliberate with others to help find the right action. "Lone rangers" and vigilantes undercut accountability. Deliberating with others can help us see the full range of ethical issues and obligations in a particular situation. They can help us see the truth and contradiction of our own reactions, assess potential consequences, and forge better decisions.

Not all ethical challenges and decisions are clear cut. The right or wrong decision is not always readily apparent. That's why reflection and deliberation are so important.

Video (25 minutes) and discussion (5 – 10 minutes): 35 minutes
"Compliance is Just the Beginning."

We are going to show a video titled "Compliance is Just the Beginning." The three steps defined in the video underscore the importance of reflection and deliberation.

Note to instructor: After showing the video, lead a brief (5 – 10 minutes) discussion by asking participants in what ways or situations the three-step process would be useful to them. Refer to the 4 pages in their manual labeled *Compliance is Just the Beginning* (taken from the

Module 7 – Ethics

workbook by the same name), and explain what these are. This information is for their reference and future use, and they need no further discussion. Handouts summarized below for instructor use:

G: Overview of the 3-step process

1. The Compliance Test

Are the choices you face legal? Do they comply with regulatory expectations? Do they meet your organization's standards and values?

This is a process of investigation.

2. The Ripple Effect

Does the decision reflect well on me and my organization? What are the likely effects, good and bad, on my organization, my colleagues, my family, my community, and the wider world once the decision becomes widely known?

This is a process of evaluation.

3. The Gut Check

Is the decision consistent with my core values? Does it feel like the right thing to do? Is this a decision I will be proud of? Will I be able to sleep at night?

This is a process of reflection.

The Process: Step 1

H: Compliance: A checklist for investigating what you're thinking
Discussion Questions:

1. Where would you find the rules for appropriate behavior for your organization?
2. If a legal question comes up at work and you aren't sure what the regulations are, how do you find out?
3. If the internal resources of the organization can't answer your question, where would you look next?
4. How can the organization help?
5. What is the "legal limit?" Why should we take care not to get too close to it?
6. What is meant by "the spirit of the law?" One of the narrators says that we need to know the spirit of the law so that we never come too close to the legal limit. Can you give examples?

The Process: Step 2

I: The Ripple Effect – 5 questions you can use

1. Can you give an illustration of the Ripple Effect, positive or negative, from your own experience?
2. How do we figure out what the likely Ripple Effects will be?

Module 7 – Ethics

3. Can you think of examples of decisions in your organization or community that had unintended or unexpected Ripple Effects?
4. How far does the Ripple Effect extend? For example, who were the people behind the mirror in the dramatization “No One Will Ever Know?” Are they the end of the ripple or is there likely to be more?
5. What would happen if people quit thinking that “no one will ever know” and started assuming that the ethical decisions they make will eventually be widely known?

The Process: Step 3

K: The Gut Effect – 5 questions you can use

1. Isn’t the “Gut Check” too subjective? What if your “gut” is telling you to do the wrong thing?
2. Some people would call the “gut check” “listening to your conscience.” Does the terminology matter?
3. How does one do a Gut Check? Why is it sometimes so difficult?
4. Do you trust your own instincts? Do you tend to follow them or ignore them? Why do you think this is?
5. What do you observe in other people, in this regard? Do you have a role model who appears to do what he or she *feels* is the right thing to do?

The video 25 minutes – and has quite a few key points. Direct participants to the note-taking page in their Participant Manual.

Video Debrief:

Ask: Can you recall the three-step process? (write on flip-chart as participants recall each step)

Ask: In what ways or situations will this three-step process be useful to you?

Ask: What else stood out to you in the video?

BREAK (10 minutes)

Large Group Discussion: 30 minutes

Ethical challenges specific to Office of Sheriff

I’m pretty sure that all of us here believe we are highly ethical, and you might be thinking that the sheriffs in the headlines we shared were in some way unethical people to begin with. But in most cases they likely, at least initially, thought they were making a harmless or inconsequential decision—but that decision, unfortunately, placed them in a position of compromise or started a chain of decisions and actions that resulted in clearly unethical behaviors.

Module 7 – Ethics

It is important to be aware of and anticipate the potential ethical challenges we ALL face. It is especially important for you, since you are in a position of public trust. Clearly, there are some challenges you are more likely to face because of the Office and the position of public trust you hold. Two issues related to Office of Sheriff come to mind. First, you are elected, and second, sheriffs have a tremendous amount of power and authority.

First, let's take a look at the political nature of the elected office you hold.

Ask: How might the political nature of the office contribute to ethical challenges for you, as sheriff?

Responses will likely include:

- People expect favors for giving me political support. The favors requested might conflict with the public interest or my own ethical standards.
- If I want to be re-elected, there are certain things I might need to do to secure the re-election. If any of these are even slightly unethical, I could be on a “slippery slope” to big trouble.
- I want to serve more than one term. If I make a decision that is unpopular with the public, but one which I know is necessary for the long-term good, I might sacrifice the votes I need to win re-election. But I can achieve this long-term good only if I am re-elected.
- Alliance with some less-than-desirable people might be the only way I can push my agenda through. If that agenda serves the public interest, should I align myself with these people, even temporarily, to achieve my goal?
- Succeeding in political office requires compromise among a variety of competing interests. I might have to temporarily reverse a position I took during the campaign, betraying supporters who might now view me as a politician who lies to get votes.
- What I must do to win an election might conflict with what I know to be right.
- People want my support on a number of issues and may want to make “deals” about supporting me if I support them on issues that might compromise my ethical standards.

Ask: Now let's take a look at the power and authority you, as an

Module 7 – Ethics

individual, have as sheriff. What kind of ethical challenges might present themselves as a result of this power and authority?

Responses are likely to include:

- A sheriff might want to do something that will have a long-term benefit to the office or community, but, in the short term, might be somewhat questionable ethically. Since there are no close “checks” on the Office of Sheriff, a sheriff might be tempted to think they can get away with what seems like a minor ethical violation for what appears to be a larger benefit.
- A sheriff might begin to convince himself that it is permissible to occasionally use power for personal gain, especially if what they wish to gain doesn’t appear to be blatantly criminal.
- People want to curry favor with the sheriff because of the power of the Office. They may offer me services or goods that I should not accept. Many times these services or goods are so minimal that accepting them does not seem to be a problem, but it won’t end there.
- The sheriff has the power to order others around and make things happen. They might abuse this to achieve personal ends.
- Many times others accept the sheriff’s actions and decisions and are reluctant to question them (or voice their questions or concerns). This can lead to the sheriff being surrounded by “yes men,” when what the sheriff really needs are people who will be honest and point out their concerns—especially when it comes to situations of potential ethical compromise.
- Sometimes sheriffs get lost in their perception of themselves as all powerful. They can lose perspective on their weaknesses or forget they can be wrong.

As we said earlier, it is important that sheriffs—even the great majority who adhere to strong ethical standards—are aware of and anticipate the potential ethical challenges that surround them as they carry out the duties of the office.

Let’s also consider perception. You and your staff are subject to a high level of public scrutiny and are expected to adhere to the highest of ethical standards. You might find yourself in a situation where, in reality, your behavior is ethical, yet others might perceive it as unethical. For example, a contractor might give you tickets to a football game. You accept them knowing you have no intention of “returning the favor” by

Module 7 – Ethics

purchasing goods or services from the contractor. BUT, think about it, how might your acceptance of tickets be perceived by the public? In this case do your intentions matter? Can the perception cause damage to you in your leadership position?

Note to instructor: Briefly ask the participants if they have any other examples where they must consider the potential of perceived unethical behavior, then close the discussion by reinforcing the need to be sensitive to not only reality, but also perception.

Guided Practice (60 minutes, including one 10-minute break)

Small group exercise: 60 minutes (10 minutes - individual work, 20 minutes – group work, 10 minutes – break, 20 minutes – small group reports)

We'd like for you to take 10 minutes to complete the **Individual** section of the worksheet in your Participant Manual on page _____. Consider potential sources of ethical challenges you might face or have faced in your own community. Reflect on specific citizens' groups, political groups, advocacy groups, individuals who want favors, and situations that have presented or could present ethical challenges to you as the sheriff. Pick the top three based on what is most likely, and rank order those from most to least serious, considering the consequences.

Take about **10 minutes**.

Note to instructor: When they have completed this part of their worksheet, continue with instructions for the group work. Emphasize they are to do the individual reflection first, without discussion.

Next, follow the instructions for your Table Group work – share your top challenges, then generate ideas for strategies to address each person's #1 challenge. You have 20 minutes to complete your work-- remember to appoint a timekeeper for your group to keep you on track. Your spokesperson should be prepared to share your group's list of challenges and the generated strategies for ONE of your scenarios. Once you have completed this, take a **10-minute break**. We will have report-outs after your break.

Note to instructor: Give the participants a specific time to return from break.

Note to instructor: Give each of the table groups 3-4 minutes to report.

Module 7 – Ethics

Note where there are similarities and differences. Get clarification where necessary. Reinforce the importance of awareness and anticipation of ethical challenges and avoidance of the slippery slope in the day-to-day work of the sheriff. Total report time should not exceed 20 minutes.

Independent Practice/ Self-Assessment (15 minutes)

Note to instructor: Refer participants to the self-assessment form in their Leadership Development Plan booklet, and tell them they will have 15 minutes to complete it.

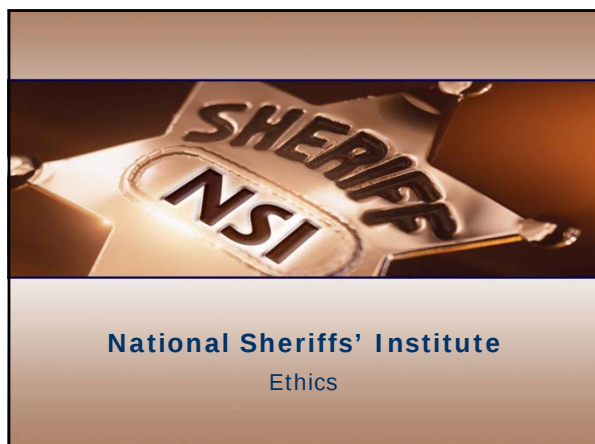
Closure and Evaluation (10 minutes)

Transition to next module

During the next module, we'll talk about your external environment and explore ways to strengthen relationships with all stakeholders.

Evaluation

Note to instructor: Give participants 5 minutes to complete the module evaluation, then collect the forms.



Ethics Headlines

Lexington County ex-Sheriff Metts pleads guilty, ends storied career in disgrace

- COLUMBIA, SC — Former Lexington County Sheriff James Metts ended a long career in disgrace Tuesday, pleading guilty to one federal felony charge of conspiring to harbor illegal immigrants.
- Metts also admitted interfering to make sure the immigrants' presence was never reported to U.S. Immigration and Enforcement officials – meaning their backgrounds were not checked against federal computerized records for serious criminal offenses.
- In 2010, Metts won federal approval to keep illegal immigrants in his jail and made public statements about how important it was to crack down on illegal immigration.

(The State, Columbia SC, December 30, 2014)



Ethics Headlines

Mississippi indictment highlights pitfalls of power for sheriffs

A state indictment against the four-term Jackson County, Miss., sheriff claims Mr. Byrd used the power of his office in unseemly and illegal ways, including refusing to pay for lawnmower repair, ordering a detective to file murder charges against a seemingly innocent man for political purposes, and sending deputies to stake out a Mexican restaurant that refused to take one of Byrd's checks.

(Christian Science Monitor August 31, 2013)



Ethics Headlines

Ex-W. Virginia Sheriff Pleads Guilty in Vote Probe

Former Lincoln County Sheriff Jerry Bowman...pleaded guilty to one count of conspiracy and admitted that he falsified more than 100 absentee ballot applications...Bowman faces a possible sentence of up to 10 years in prison and a \$250,000 fine. [He has]resigned from office.

(Retrieved March 7, 2012 from <http://dailymail.com.news>)



Ethics Headlines

Sheriff Found Guilty on Drug Charges

- A jury convicted Sheriff Raymond Martin, 48, of Junction, Illinois, of trafficking drugs while on duty, and of plotting to kill witnesses in the case. He now faces decades in prison.
- Prosecutors...showed the jury pictures of the sheriff in his county-issued Ford Expedition, in uniform and carrying his revolver while handing over the drugs to his salesman.

(Retrieved November 30, 2010, from <http://www.wsilvtv.com/p/news>)



Ethics Headlines

Sheriff Found Guilty on Drug Charges

- The Gallatin County Sheriff [was] found guilty on all counts in his federal trial. He now faces decades in prison.
- A jury convicted Sheriff Raymond Martin, 48, of Junction, Illinois, of trafficking drugs while on duty and of plotting to kill witnesses in the case.
- Prosecutors...showed the jury pictures of the sheriff carrying his revolver while handing over the drugs to his salesman, in uniform and in his county-issued Ford Expedition.

(Retrieved November 30, 2010, from <http://www.wsilvtv.com/p/news>)



Ethics Headlines

South Carolina: Former Sheriff Found Guilty in Drug Conspiracy

- E.J. Melvin, ex-sheriff of Lee County, was convicted Tuesday on more than 30 drug conspiracy and racketeering charges in what prosecutors said was a wide-ranging corruption case. A federal jury found Mr. Melvin guilty of extorting money from drug dealers in exchange for protection from investigation.

(Associated Press, November 10, 2010)



Ethics Headlines

Former Montague County Sheriff Pleads Guilty to Coercing Sex From Suspect

- Former Montague County Sheriff Bill Keating pleaded guilty Thursday to using the power of his badge to force a female drug suspect to have sex with him.
- Montague County District Attorney Jack McGaughey said that by mid-February, he expects to secure indictments against Keating and other former jail employees on charges they had sex with inmates and allowed contraband.

(The Dallas Morning News, January 30, 2009)



Ethics Headlines

"America's Sheriff" Found Guilty of Witness Tampering

- Former Orange County Sheriff Mike Carona, accused of accepting cash and gifts in exchange for access to the powers and resources of the department, was convicted Friday of a felony witness tampering charge in his federal corruption trial.

(NBC Los Angeles News, January 26, 2009)



Ethics Headlines

Ex-Putnam Sheriff Frisbie Pleads Guilty to Theft, Could Get Thrown in Prison

- Former Putnam County Sheriff Mark Frisbie, who resigned this month in the midst of a federal investigation, pleaded guilty Friday to stealing more than \$12,000 in money from the sheriff's department.
- A federal indictment announced August 20 charged that Frisbie used a sheriff's department credit card and checking account to pay expenses for his consulting firm, travel expenses for his wife's daughter, and for campaign supplies.

(Terre Haute News, August 29, 2008)



Ethics Headlines

Shumate Guilty

- A jury of 12 women late Thursday found Potter County Sheriff Mike Shumate guilty of engaging in organized criminal activity for accepting bribes from a jail food-service vendor, but the jurors acquitted the sheriff of accepting improper campaign contributions.
- Shumate was taken immediately into custody and removed from office by Visiting District Judge Quay Parker.

(Retrieved February 11, 2009 from
http://www.amarillo.com/stories/061308/new_10556078.shtml)



Ethics Headlines

Yeager Fined \$200 for Ethics Violations

- Coweta County Sheriff Mike Yeager learned last Friday that using a Sheriff's Department e-mail address and posting a campaign poster on a door at a county-owned building could cost you.
- Spokesman Teddy Lee confirmed the State Ethics Commission found Yeager guilty of violating the Ethics in Government Act on two out of five violations he was accused of.

(The Citizen Newspaper - Fayette County, Georgia - August 5, 2005)



Ethics Headlines



Jenkins County Sheriff Resigns

- Jenkins County Sheriff James Robert "Bobby" Womack, under investigation by both the GBI and FBI over allegations that he used county inmates as personal laborers, sent a resignation letter to Gov. Sonny Perdue on Tuesday.
- According to the Georgia Bureau of Investigation's now closed-case file, released under an open records request, the late sheriff confessed to turning county prisoners into a personal work force.

(Augusta Chronicle - July 13, 2004,
December 6, 2004)



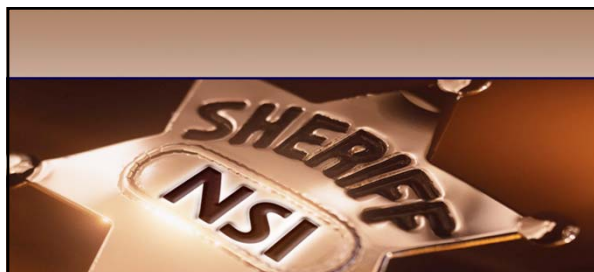
Ethics Headlines



Judge Sentences Former Fairfield County Sheriff Gary DeMastry to Six Years in Prison

- A jury convicted the former Sheriff of 32 counts, including engaging and conspiracy to engage in a pattern of corrupt activity, theft in office, tampering with evidence, obstructing justice, receiving unlawful supplemental compensation, and filing a false financial disclosure statement.
- Judge Markus noted that the defendant "arrogantly chose to deceive anyone who sought an accounting of the money" and directed subordinates to cover up his transactions.

(Press Release - Ohio Ethics Commission
- January 18, 2002)

Effect of Unethical Behavior on Leadership

Performance Objectives



- List potential consequences of unethical behavior by a sheriff.
- Identify ethical challenges commonly encountered by sheriffs.
- Generate ideas for strategies to address the identified challenges.



Ethics



Is it possible for an action to be legal,
but not ethical?



Ethics Defined



Those standards that guide our decisions regarding right and wrong behavior and anchor our sense of personal and professional integrity.



Unethical Behavior...

usually involves the abuse of trust and position where individuals impose their own private judgment or interests in place of behavior that should be bound by legal, professional, or accountable standards of action.



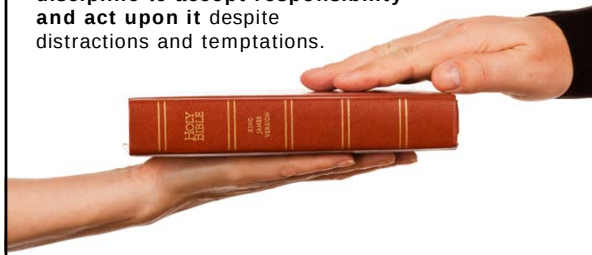
To be ethical one must have:

- The capacity to hold beliefs
- The capacity to deliberate upon our beliefs
- The courage and fidelity to act upon our beliefs



Ethics

At its core, being ethical assumes that **morally mature** human beings possess enough **self discipline to accept responsibility and act upon it** despite distractions and temptations.



Ethical Behavior requires that

INDIVIDUALS

- accept responsibility for their actions.
- act with self-discipline.
- reflect on their action and act on the basis of reasoned reflection.
- deliberate with others to help find the right action.



Video Debrief

Compliance is Just the Beginning

- Can you recall the three-step process?
- In what ways or situations will this three-step process be useful to you?

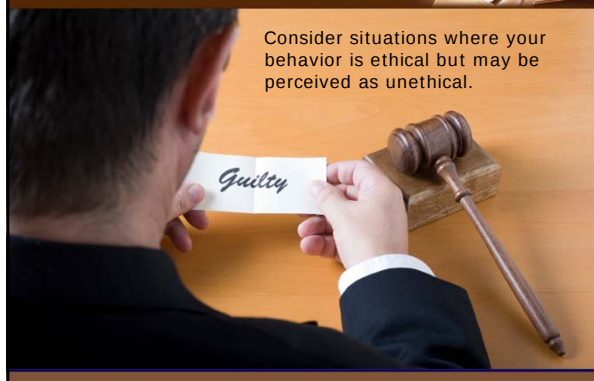


Ethical Challenges: Office of Sheriff

- Political office
- Power and authority



Ethics and Perception



Consider situations where your behavior is ethical but may be perceived as unethical.

Individual Exercise

- On your own, identify potential sources of ethical challenges in your community.
- Pick three of these challenges that seem the most likely.
- Rank order these three from most to least serious



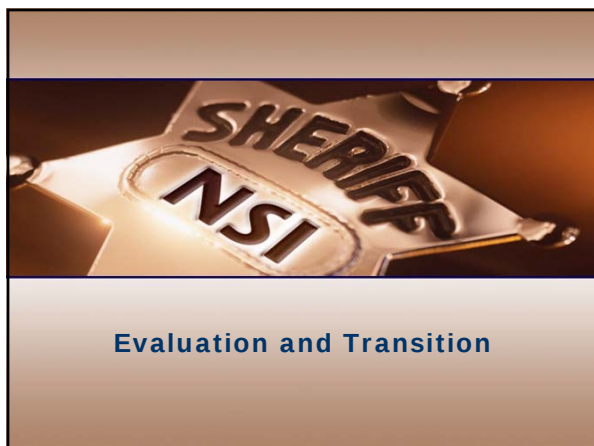
Small Group Exercise

- In your group: each person share top three challenges and level of seriousness.
- Together, generate strategies (based on what you have learned) to address these top challenges.
- Select a group reporter to share your top challenges and strategies.



Self-Assessment Exercise

Complete self-assessment



Evaluation and Transition

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Ethics

Performance Objectives

- List potential consequences of unethical behavior by a sheriff.
- Identify ethical challenges commonly encountered by sheriffs.
- Generate ideas for strategies to address the identified challenges.

Ethics

Is it possible for an action to be legal but not ethical?

Ethics can be defined as those standards that guide our decisions regarding right and wrong behavior and anchor our sense of personal and professional integrity.

Unethical behavior usually involves the abuse of trust and position where individuals impose their own private judgment or interests in place of behavior that should be bound by legal, professional, or accountable standards of action.

Ethics

To be ethical one must have

- The capacity to hold beliefs
- The capacity to deliberate upon our beliefs
- The courage and fidelity to act upon our beliefs

At its core, being ethical assumes that **morally mature** human beings possess enough **self discipline** to **accept responsibility and act upon it** despite distractions and temptations.

Ethical behavior requires that:

- Individuals accept responsibility for their actions
- Individuals act with self-discipline
- Individuals reflect on their action and act on the basis of reasoned reflection
- Individuals deliberate with others to help find the right action

Compliance Is Just the Beginning Video Note-Taking Guide

Overview of the 3-step process

1. The Compliance Test

- Are the choices you face legal?
- Do they comply with regulatory expectations?
- Do they meet your organization's standards and values?

This is a process of investigation.

2. The Ripple Effect

- Does the decision reflect well on me and my organization?
- What are the likely effects, good and bad, on my organization, my colleagues, my family, my community, and the wider world once the decision becomes widely known?

This is a process of evaluation.

3. The Gut Check

- Is the decision consistent with my core values?
- Does it feel like the right thing to do? Is this a decision I will be proud of?
- Will I be able to sleep at night?

This is a process of reflection.

This is Handout G from the Compliance is Just the Beginning workbook. © Quality Media Resources, Inc.

Compliance Is Just the Beginning Video

The Process: Step 1

Test Your Compliance: Investigate

Questions:

1. Where would you find the rules for appropriate behavior for your organization?
2. If a legal question comes up at work and you aren't sure what the regulations are, how do you find out?
3. If the internal resources of the organization can't answer your question, where would you look next?
4. How can the organization help?
5. What is the "legal limit?" Why should we take care not to get too close to it?
6. What is meant by "the spirit of the law?" One of the narrators says that we need to know the spirit of the law so that we never come too close to the legal limit. Can you give examples?

This is Handout H from the Compliance is Just the Beginning workbook. © Quality Media Resources, Inc.

Compliance Is Just the Beginning Video

The Process: Step 2

Evaluate The Ripple Effect – 5 questions you can use

Questions:

1. Can you give an illustration of the Ripple Effect, positive or negative, from your own experience?
2. How do we figure out what the likely Ripple Effects will be?
3. Can you think of examples of decisions in your organization or community that had unintended or unexpected Ripple Effects?
4. How far does the Ripple Effect extend? For example, who were the people behind the mirror in the dramatization “No One Will Ever Know?” Are they the end of the ripple or is there likely to be more?
5. What would happen if people quit thinking that “no one will ever know” and started assuming that the ethical decisions they make will eventually be widely known?

This is Handout I from the Compliance is Just the Beginning workbook. © Quality Media Resources, Inc.

Compliance Is Just the Beginning Video

The Process: Step 3

Do The Gut Check: Reflect On Your Values – 5 questions you can use

1. Isn't the "Gut Check" too subjective? What if your "gut" is telling you to do the wrong thing?
2. Some people would call the "gut check" "listening to your conscience." Does the terminology matter?
3. How does one do a Gut Check? Why is it sometimes so difficult?
4. Do you trust your own instincts? Do you tend to follow them or ignore them? Why do you think this is?
5. What do you observe in other people, in this regard? Do you have a role model who appears to do what he or she *feels* is the right thing to do?

This is Handout K from the Compliance is Just the Beginning workbook. © Quality Media Resources, Inc.

Ethical Challenges Specific to the Office of Sheriff

- The sheriff is an elected official. How might this lend itself to ethical challenges for you, as sheriff?
- Sheriffs have a tremendous amount of power and authority. What kind of ethical challenges might present themselves as a result of this power and authority?
- Ethics and perception. Consider situations where your behavior is ethical but may be perceived as unethical.

It is important that sheriffs—even the great majority who adhere to strong ethical standards—are aware of and anticipate the potential ethical challenges that surround them as they carry out the duties of the office.

Individual and Small Group Exercise

Identifying Potential Sources of Ethical Challenges Generating Strategies

Individually

1. Identify potential sources of ethical challenges in your community.
(Reflect on specific citizens' groups, political groups, advocacy groups, individuals who want favors, situations that have presented or could present ethical challenges to you as sheriff.)

2. Pick three of these challenges that seem the most likely. Rank order these three from most to least serious (considering the consequences of an ethical violation).

In your table group

1. Each person share top three challenges and level of seriousness.
2. Together, generate strategies (based on what you have learned) to address these top challenges.
3. Select a group reporter to share your top challenges and strategies.

Self-Assessment

Complete the Self-Assessment in your Leadership Development Plan for this Module

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Lesson Plan



Initiative: Leadership NSI	
Program: National Sheriffs' Institute	
Module 8: The External Environment and the Office of Sheriff	Time: 4 hours and 25 minutes, including two 10-minute breaks and lunch

Overview

This module focuses on the external conditions, groups, and public partnerships that can affect the Office of Sheriff in terms of operations and achievement of leadership direction. It includes the following:

- A lecture, large group discussion, and individual exercise on the external conditions that affect the Office of Sheriff and the sheriff's ability to achieve their leadership direction;
- Stakeholder mapping for a sheriff's office, done as a large group exercise;
- An exercise in which participants identify their critical stakeholders and the quality of their relationship with each;
- A lecture on five steps in establishing and maintaining partnerships with critical stakeholders;
- Discussion and an exercise on the partnership between the sheriff's office and the funding authority;
- A large group discussion with one or more media representatives;
- An individual exercise in which participants complete a self assessment related to the concepts presented in this module.

Performance Objectives

- Determine information needed to assess external conditions in their own jurisdiction.
- Develop strategies for establishing a positive relationship between the sheriff's office and critical stakeholders.

Development Date: August 29, 2005
Revised: July 7, 2006; February 13, 2009;
March 4, 2010, February 2015; May 2015

PRESENTATION GUIDE	FACULTY NOTES
PRESENTATION GUIDE Anticipatory Set (5 minutes) Consider the following situation: Demographics in your jurisdiction have changed considerably over the past ten years. Large tracts of land have been sold to developers and building has been booming since the end of the recession. There are numerous subdivisions, new schools, businesses and office space, and even a retirement village. People are drawn to the open spaces and to the low tax rate. Ask: What impacts will this likely have on the Office of the Sheriff? Note to instructor: Get four or five responses. This is just to get participants thinking about the external environment – what it is and how it impacts their mission and leadership direction. This description includes quite a few things that are part of your EXTERNAL environment – things beyond the Office of the Sheriff, and you quite readily identified how your work will be impacted. As sheriffs, you know that the range of your leadership responsibilities and influence extends beyond your own organization to the criminal justice system and your community as a whole. To effectively lead your organization you need to have a thorough understanding of the environment external to your agency. And, you need to be able to build effective partnerships within the criminal justice system and the community. In this module, we will focus on your world outside of your agency. Our performance objectives for this module are: • Determine information needed to assess external conditions in their own jurisdiction. • Develop strategies for establishing a positive relationship between the sheriff's office and critical stakeholders	

Instructional Input (35 minutes)

Lecture and Large Group Discussion: 20 minutes

External conditions

It is important to recognize where and how external conditions affect your operations. As a leader, you can anticipate what these conditions might be and work to influence conditions so that you can achieve your leadership direction.

Let's look a little more closely at some of the external conditions that the leader of any organization needs to be aware of and consider how these conditions might affect the Office of Sheriff.

Legal conditions: Local, state, and federal statutes, case law, and administrative rules provide authority and limitations for your agency. As a leader, you need to be aware of new legislation, precedent-setting case law, and consent decrees. In some cases, you may initiate changes in statutory authority that enhance your ability to achieve your leadership direction.

Ask: What are some examples of legal conditions that have affected operations in your office and how did these conditions affect your operations?

Responses will likely include: Domestic violence laws that require an arrest have increased the number of inmates in our jail; tougher drunk-driving laws have focused our efforts in this area; inmate lawsuits; PREA – Prison Rape Elimination Act; in Colorado – legalization of marijuana; body cams; freedom of information; AB 109 in California – reducing prison overcrowding by sending inmates to county jails.

Political conditions: Political and public interest groups directly affect agencies through pressure for policy and budget control. A leader must stay in touch with the efforts and intentions of interest groups and be able to influence and respond to the initiatives of these groups. In addition, you must establish a positive working relationship with fiscal and policy-making groups.

Ask: What are some examples of political conditions that have affected operations in your office and how did these conditions affect your operations?

Responses will likely include: Will vary.

Module 8 – The External Environment and the Office of Sheriff

Social conditions: The leader must be familiar with the culture of the community – the **collective** norms, values, and behaviors of the general public and the areas of **diverse** values and beliefs. The leader must also be aware of demographic **changes** and their potential impact on agency operations and the ability to achieve the leadership direction.

Ask: What are some examples of social conditions that have affected operations in your office and how did these conditions affect your operations?

Responses will likely include: The introduction of legalized gambling in our jurisdiction brought increased/different types of crime; at certain times of the year we have an influx of transients (tourists, migrant workers) which affects both the patrol and detention functions; other specific examples from jurisdictions; legalization of same sex marriage – enforcing civil rights

Ecological conditions: These conditions include geographic location, climate, community size, and economic base (agriculture, heavy industry, high-tech, etc.), characteristics of the community that may have an impact on operational decisions. The leader also needs to know whether these factors contribute to the community being homogeneous or diverse in terms of values and ideas.

Ask: What are some examples of ecological conditions that have affected operations in your office and how did these conditions affect your operations?

Responses will likely include: The large number of lakes in our jurisdiction requires us to have a marine division; as an outdoor recreation destination (summer river rafting, winter mountain skiing) we must plan for search and rescue operations; other examples from specific jurisdictions; geological factors impact the cost of building/maintaining the jail; LEEDS certification/green design

Economic conditions: The economic climate of a jurisdiction will influence the availability of resources. Leaders must be aware of the changing economic situation and be able to respond appropriately, anticipating the likely influence the economic climate will have on budgetary decision-makers.

Ask: What are some examples of economic conditions that have affected operations in your office? How did these conditions affect your operations?

Module 8 – The External Environment and the Office of Sheriff

Responses will likely include: Will vary.

Technological conditions: The leader must continue to be aware of the impact of new technology to properly assess its effect on staff, budgets, and program proposals.

Ask: What are some examples of technological conditions that have affected operations in your office and how did these conditions affect your operations?

Responses will likely include: Moving data to the Cloud; technology changes so quickly; crime scene bystanders who take pictures and videos; applications that unlock car doors; body cams – cost, data storage and security; data storage in general.

As sheriff, it is **important to be proactive**—with the media, with the legislature, with your community. You need to help shape the direction of the conversation. Your role is about informing, having dialogue, and building Goodwill.

Individual exercise: 15 minutes

Familiarity with external conditions

Now that we've had the opportunity to discuss the variety of external conditions that can affect the operations of the sheriff's office and potentially affect the achievement of your leadership direction, we're going to give you a little time to consider your own jurisdiction and assess the information you might need to gather to familiarize yourself with the external conditions in your community. Turn to page ___ in your participant manual and follow the instructions to complete the checklist. This will help you answer the questions:

- What do I need to know?
- What information do I already have?
- What information do I need to gather, and where do I find it?

Ask: What surprised you?

Ask: What did you discover?

Large group discussion and activity: 20 minutes
Stakeholder mapping

We've been talking about the importance of understanding your external environment. Part of understanding your external environment requires knowing who the stakeholder groups are **outside** of your office. External stakeholder groups are those that have an **interest in or impact on your organization**. They are also those groups that your organization **affects or influences**. Let's take a look at the external stakeholders for a typical sheriff's office.

Note to instructor: Draw a stakeholder map on chart paper. Explain how this is similar to and different from the stakeholder maps in their participant manual. Ask participants to name external stakeholders for a typical sheriff's office. As examples are offered, write them in one of the circles. Stress the magnitude and complexity of the sheriff's external world – the number and variety of stakeholders.

Note to instructor: Refer to the stakeholder map and identify the three types of relationships (close, on-going, positive but tangential, brief issue specific) by color coding with markers.

You have a huge number and variety of stakeholders. With some, you will have a close, ongoing relationship. With others, you may maintain a positive, but tangential relationship, perhaps for political reasons. And with others, you may have a brief, issue-specific relationship.

Ask: What are some examples of stakeholders with whom you have a **close, ongoing relationship** – these go in the middle circle.

Possible responses: county commissioners, courts, judges, advisory boards, clubs and groups (public), media, police, religious leaders– they influence congregations and report back to the sheriff what is going on, probation, city council, victim services, mental health professionals, donors, school board

Ask: What are some examples of stakeholders with which you might have a **positive, but tangential, relationship** for political reasons?
This is the next circle out

Responses will likely include: Mental health, child protective services, shelters, hospitals, highway department, civic groups, watch dog groups

Module 8 – The External Environment and the Office of Sheriff

Neighboring law enforcement, sheriff associations, DOC, AG's office, state police, business owners/chamber of commerce, political groups, historical society, non-profits, advocacy groups, foundations, organizations that provide funding or are potential funders, EMS (you don't want your first conversation with EMS to be during a crisis or emergency). [Where these go depends on your county.]

Ask: With what stakeholders might you have **brief, issue-specific** relationships? Stay in touch, communicate occasionally

Responses will likely include: Celebrities, special events, statewide events where sheriff's staff is asked to help, colleges/universities, families of offenders and victims. Your adversaries?

Another way to help develop this list in the outside circle is to ask: What are some events that happen that basically hijack some of your staff?

Responses will likely include:

Ironman, oil companies, grass fires (have to close roads), one-time events, etc.

Ask: When you look at this list – these are the groups you have said that you need to build/maintain relationships with, whether daily, weekly or quarterly. What do you notice?

Time becomes the issue. Not enough time for you to do it all yourself!

Ask: Why would you take a list like this back to your executive team? Delegate, or get folks to volunteer, to build these relationships. What are the natural connections they already have with these people/groups?

As you can see from the stakeholder map, there are many people and organizations that have an interest in or impact on the Office of Sheriff and with whom you have some type of relationship. It is impossible, though, to invest significant time and resources into relationships with all these people and organizations. Because your time and resources are limited, you need to

-- identify the stakeholders whose support is essential to your mission and leadership direction

—and then you need to develop a productive relationship with these stakeholders.

Each of you should work with your executive team to develop a stakeholder map for your own jurisdiction. There are distinct advantages to working with others on this:

Module 8 – The External Environment and the Office of Sheriff

- to ensure that your executive team is fully aware of who all the stakeholders are
- to create a more complete stakeholder map - others may identify stakeholders that you might not be aware of
- to help you assign members of your executive team as the primary liaisons to certain stakeholders

Some stakeholders will be important throughout your term of office; others will be key in relation only to specific issues and specific periods of time.

Guided Practice (10 minutes plus 10 minute break—combined time)

Individual exercise: 10 minutes

Stakeholder mapping

Let's turn now to the exercise on page ____ in your participant manual. Working individually, you will:

- Create a preliminary stakeholder map;
- Identify your primary stakeholders;
- For each primary stakeholder, note if your relationship is effective, needs to be repaired or revitalized, or is non-existent and needs to be developed.

This gives you just a beginning for a fuller exploration of your stakeholders with your executive team. Instructors are available for questions. You will have 20 minutes to complete your work.

Break: 10 minutes

(Tell participants to take 10 minutes on the activity and a 10 minute break—total time 20 minutes. Tell them what time to return to the room.)

Instructional Input

Lecture: 10 minutes

Developing partnerships with key stakeholders

As sheriff, **you must take the initiative** to develop productive partnerships with critical stakeholders. This should be done methodically and thoughtfully and, again, with consultation and

Module 8 – The External Environment and the Office of Sheriff

assistance from your executive team. Here are some steps that should be helpful.

1. Identify specifically **what you need or hope to gain** from the partnership.
2. Assess **the interests and goals of the stakeholder**.
3. Identify the **common ground** between you and the stakeholder. You will build your partnership on the common ground, or shared goals.
4. Identify **benefits to the stakeholder** of a positive partnership with the sheriff's office. The stakeholder must be able to see these benefits – otherwise, there is no reason for the stakeholder to have a partnership with you.
5. Determine the **level of support and resources** you will need to invest to establish and maintain the partnership. This will vary depending on the nature and purpose of the partnership. However, any partnership requires some level of investment from both parties. This investment may include your time, your staff's time, and willingness to share resources and information.

You will also want to **assess the current status of the relationship** between your office and the stakeholder. As new sheriffs, many of you might have inherited a relationship—positive or negative—established by the former sheriff. Will you have to repair a significantly damaged relationship?

Remember, the nature of the relationships you establish with key stakeholders can make or break your ability to effectively carry out the work of your office and achieve your leadership direction.

We'll spend the rest of this module discussing your relationship with two primary stakeholders: the funding authority and the media.

The Office of Sheriff is unique in that the sheriff does not work for the funding authority, yet the sheriff is not independent in terms of budget. The sheriff is independent of AND dependent on the funding authority. This can make for an interesting and often contentious relationship. But the Sheriff can significantly influence and build a positive relationship by taking a careful and deliberate approach. We want you to take the opportunity to talk about this in small groups.

Module 8 – The External Environment and the Office of Sheriff

Guided Practice (55 minutes)

Small group exercise: 55 minutes

Strategies for a positive relationship with the funding authority

Note to instructor: Divide the class into **five groups**. Groups can be directed to breakout rooms for their work if time and energy permit. In the small group each participant will identify their biggest challenge with the funding authority and discuss this with the group. After all participants have had an opportunity to share in the discussion, the group chooses three of the identified problems and works through specific strategies to improve the relationship between the sheriff's office and the funding authority, with reference to the five steps discussed above. The group prepares a report on the chart pad listing the selected problems and strategies. The groups will have **20 minutes** to hold their discussion and complete their report. After this each group will have **3-5 minutes** to share their report with the large group.

Remind participants that their funding source has other requests, other pressures. It would be helpful to determine where interests overlap. As groups report out, tie their strategies in to Power Bases as appropriate. Most likely they will be using good will, information, expertise, to build relationships and influence decisions. This helps them connect pieces from one module to another.

BREAK: 10 MINUTES

Instructional Input (75 minutes)

Lecture and large group discussion

Relationship with media

Note to instructor: For each NSI, NIC will invite one or more members of the local media and/or a public information officer from a local sheriff's office. NIC will brief the guest speakers on the NSI, the audience, and the purpose of this session. The speakers may make a brief presentation, but much of the time is allotted for questions and open discussion on establishing a productive relationship between the sheriff's office and the media.

Give participants no more than **15 minutes** to meet in their table groups and develop three questions they would like to ask the media representatives. They will list their questions on their chart pad. The discussion with media representatives should be given a full **60 minutes**.

BREAK for Lunch

Module 8 – The External Environment and the Office of Sheriff

Self-Assessment (15 minutes)

We're going to take some time now for you to complete a self-assessment worksheet, which is in your Leadership Development Plan booklet. The worksheet will ask you to consider the information you have gotten during this module, analyze your strengths and weaknesses, and develop strategies for improvement.

Closure and Evaluation (10 minutes)

During this module, we've been looking at the importance of understanding your external environment and building effective public partnerships. Remember, we concluded earlier that conducting the business of the sheriff's office and achieving your leadership direction depends in great part on the effectiveness of your relationships with individuals and groups outside of your organization.

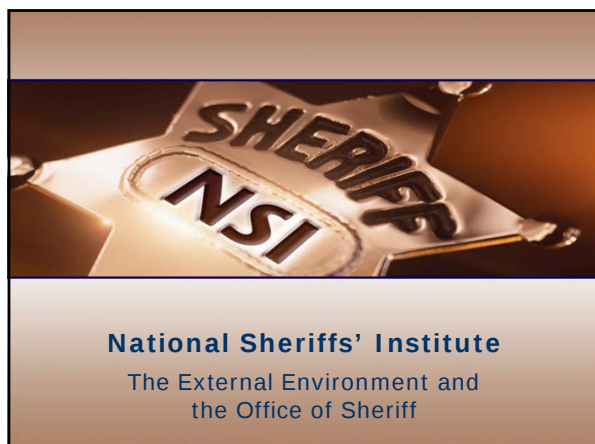
Transition to next module

This afternoon, we are going to talk about leading change, and you will have a chance to work on a specific change you want to make related to your leadership direction.

Participant evaluation of module

Note to instructor: Give participants 5 minutes to complete the evaluation, then collect the forms.

Page left intentionally blank



Performance Objectives

- Determine information needed to assess external conditions in their own jurisdiction.
- Develop strategies for establishing a positive relationship between the sheriff's office and critical stakeholders.



External Conditions

- Legal
- Political
- Social
- Ecological
- Economic
- Technological



Individual Exercise

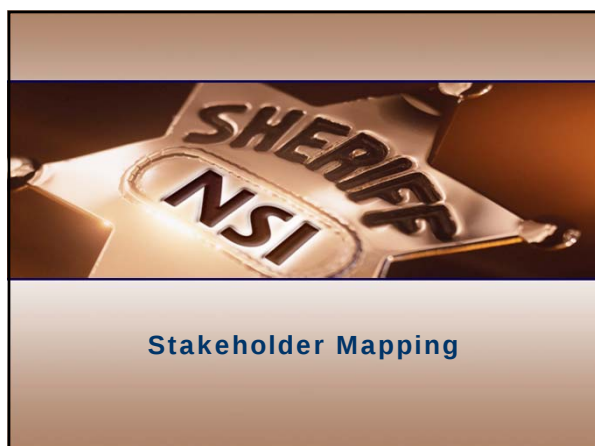
The External Environment

What do I know?
What do I need to find out?



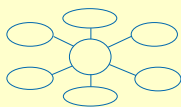
For each example in the checklist check

- **YES** if you have Sufficient Information
- **NO** if you need More Information
- **N/A** if this does not apply to your jurisdiction



Individual Exercise

- Create a preliminary stakeholder map.
- Identify your **Critical Stakeholders (CS)**.
- For each **CS** note whether your relationship
 - is effective
 - needs to be repaired or revitalized
 - needs to be developed



Developing Positive Public Partnerships



- What do you hope to gain from the partnership?
- What are the stakeholder's interests/goals?
- What is the common ground?
- How will stakeholder benefit?
- Determine level of support/resources you need to invest to establish and maintain the partnership.



Critical Partnerships: Funding Authority

Small Group Exercise



Individually

- Note biggest problem with funding authority.

Group

- Share problems – choose three for your work.
- Discuss strategies to improve relationship with funding authority. Refer to 'five steps'.
- Prepare to report on problems and strategies.



Critical Partnerships: Media

Questions for Media



- Develop three questions to ask media representative or panel about building a positive relationship with the media.
- Write questions on chart paper.

Media Panel

Self-Assessment Exercise

Complete self-assessment



The slide features a dark brown header with the text "Self-Assessment Exercise" in white. Below the header, the text "Complete self-assessment" is centered. At the bottom center, there is a 3D illustration of a large group of white human figures standing in rows, with one orange figure standing out in the center.



Evaluation and Transition

The slide features a dark brown header with a close-up, high-angle shot of a metallic, star-shaped badge with the words "SHERIFF" and "NSI" embossed on it. Below the header, the text "Evaluation and Transition" is centered in a dark blue font.

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The External Environment and the Office of Sheriff

Performance Objectives

- Determine information needed to assess external conditions in their own jurisdiction.
- Develop strategies for establishing a positive relationship between the sheriff's office and critical stakeholders.

External Conditions

- Legal
- Political
- Social
- Ecological
- Economic
- Technological

Individual Exercise The External Environment

Listed below are a few examples of each of the six types of conditions in the external environment. Space is available for you to add other examples, as needed. For each example, check the box to indicate:

Yes: I have sufficient information to understand how the work of the sheriff's office is affected by this and to make decisions that take this information into account.

No: I need more information to understand how the work of the sheriff's office is affected by this and to make decisions that take this information into account.

N/A: This is not applicable to my jurisdiction.

CONDITION: LEGAL Do you know the existing and pending legal mandates that affect your office and how?	YES	NO	N/A
State and federal statutes			
Case law			
Local regulations and codes (health, fire, safety)			
Consent decrees			
National, state, or professional standards			

CONDITION: POLITICAL Do you know the roles, agendas, concerns, level of influence, and key players?	YES	NO	N/A
Public interest groups			
• Labor unions			
• Criminal justice organizations			
• Crime victims			
• Advocacy groups			
•			
•			
Political parties			
Fiscal and policy-making entities			
• County funding authority			
• County executive			
• State legislators			
• Governor			
• Judges			
•			
•			
Elected and appointed officials in jurisdiction			
Other law enforcement agencies in jurisdiction			

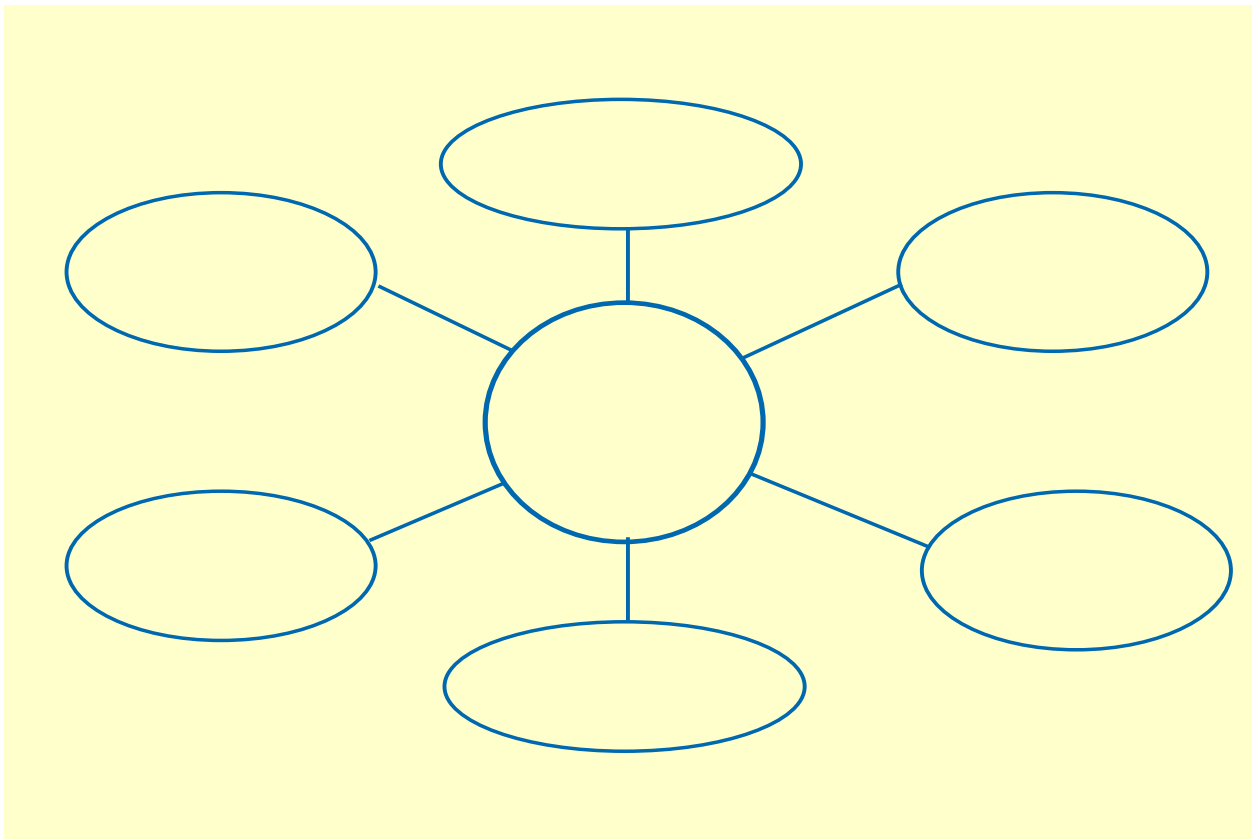
CONDITION: SOCIAL	YES	NO	N/A
Jurisdictional demographics			
• Total population of your jurisdiction			
• Population subgroups (race, ethnicity, nationality, age, gender, other)			
• Rate of overall population increase/decrease			
• Rate of population increase/decrease for each population subgroup			
• Temporary populations, such as students, tourists, migrant workers, other			
• Number and types of religious groups			
•			
•			
Cultural attributes (customs, world views) of primary ethnic, national, racial, and religious groups			
Types and sizes of “at-risk” populations			
Rates and types of substance abuse			
Primary population groups involved with substance abuse			
Crime trends in jurisdiction			
Trends in public health concerns (medical and mental health)			
Organizations and Programs (Do you know the types of services and programs offered and the key staff)			
• Social service organizations (services to the aging, homeless, economically disadvantaged, and others)			
• Social organizations (such as Kiwanis, Rotary, Lions Clubs)			
• Volunteer organizations			
•			
•			

CONDITION: ECOLOGICAL	YES	NO	N/A
Size of jurisdiction (square miles)			
Location (rural, urban, suburban)			
Location (proximity to other communities that might affect the work of the sheriff's office)			
Climate (as it affects tourism, temporary populations, activities, population make-up)			
Geographic features (as they affect tourism, temporary populations, activities, population make-up)			

CONDITION: ECONOMIC	YES	NO	N/A
Tax base			
Employment			
• Major employers			
• Primary types of employers			
• Overall employment rate			
• Employment rate for each population subgroup			
•			
•			
Average per capita income			
Per capita income for each major population subgroup			
Economic trends			
County budget			
• Total budget			
• Current allocations for all county government components, including sheriff's office			
• Historical allocations (3 years) for all county government components, including sheriff's office			
Budget trends for major public functions			
• Education			
• Hospital			
• Mental health agency			
•			
•			
Budget trends for social service agencies			
• Assistance to the aging			
• Homeless shelters			
• Safe houses			
•			
•			

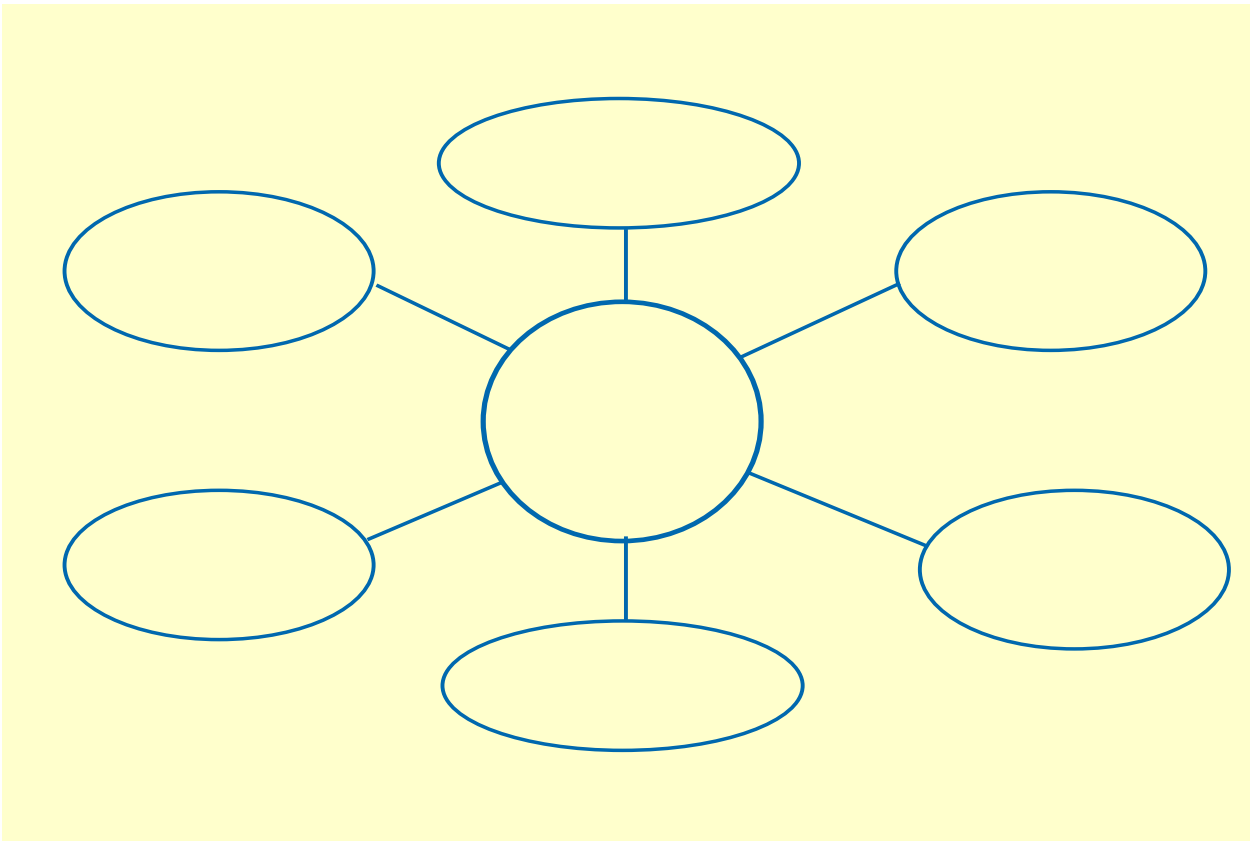
CONDITION: TECHNOLOGICAL Are you informed about technologies that could increase the efficiency and effectiveness of the work of your office?	YES	NO	N/A
Existing technologies			
Emerging technologies			

Stakeholders for a Typical Sheriff's Office



**Individual Exercise
Stakeholder Mapping**

1. Using the diagram below, create your own stakeholder map. Add circles as necessary.



**Individual Exercise
Stakeholder Mapping**

2. List your critical stakeholders and note the quality of your relationship with each by checking in the applicable column.

Critical stakeholder	Relationship effective	Revitalize/repair relationship	Develop relationship

Developing Positive Public Partnerships

1. Identify specifically what you need or hope to gain from the partnership.

2. Assess the interests and goals of the stakeholder.

3. Identify the common ground between you and the stakeholder.

4. Identify benefits to the stakeholder.

5. Determine the level of support and resources you will need to invest to establish and maintain the partnership.

Small Group Exercise
Building a Positive Relationship with the Funding Authority

- Each person share your biggest problem with the funding authority.
- As a group choose three of the problems. Referring to the five steps discussed in class, determine strategies to improve the relationship between the sheriff's office and the funding authority.
- Prepare a report to share the problems and strategies with the large group.

Media Presentation

In your group, develop three questions to ask the media representative/panel about building a positive relationship with the media. Write your questions on chart paper.

Self-Assessment

Complete the Self-Assessment for this module in your Leadership Development Plan workbook.

Lesson Plan

Initiative: Leadership NSI

Program: National Sheriffs' Institute

Module 9: Leading Change

Time: 7 hours and 15 minutes, including lunch and breaks [This module spans Thursday afternoon through Friday morning.]

Overview

This module covers the three phases of change (preparing for, implementing, and sustaining change) and the two levels (project and people) of leading change. During the module, participants complete a variety of exercises related to leading change.

At the end of the “Defining Your Leadership Direction” module, participants were given an explanation of, a template for, and an example of a case for change, along with an assignment to draft a case for change for a specific change initiative related to their leadership direction. They were encouraged to talk with peers and instructors during the week, and required to have their draft reviewed by an instructor prior to this module. Their draft will be used in activities in this module.

Participants will take, score, and debrief an instrument related to their ability to lead change, and complete a self-assessment based on the concepts presented in this module.

Performance Objectives

- Differentiate between the leadership responsibilities in the three phases and two levels of change.
- Draft a plan to create a Change Team.
- Create a plan to mobilize support and overcome resistance to the proposed change.
- Draft a change-initiative work plan.
- Explain the steps needed to monitor and adjust during implementation.
- Determine a process to sustain the change after implementation.

Preparation

- *Leading Change at Every Level* self-assessment instrument for each participant and each instructor
- Set up two chart pads in the front of the room. Label one “Reasons for Success” and the other “Reasons for Failure.”

Development Date: August 29, 2005
Revised: July 20, 2006; March 26, 2009; August 6, 2009; March 4, 2010; August 17, 2010; December 1, 2010; March 6, 2012; February 2015; May 2015

Anticipatory Set: 20 minutes

Large group discussion: 15 minutes

I'd like for you to take a moment to think of a few change initiatives you have experienced, fundamental changes in an organization where you've worked – those that were fully implemented as well as those that didn't turn out so well. Consider changes you have initiated as well as those initiated by others, and consider any work experience, not just the Sheriff's office. By "fundamental change" I mean a change that impacts the way staff perform their work, such as:

- Consolidations of departments or offices;
- A philosophical change – for example, from a traditional to a direct supervision jail.
- Going paperless with use of technology
- Organizational changes

Note to instructor: Give a brief example from your own experience to illustrate, then give participants a few minutes to think.

I'm going to ask a few of you to share your change initiative by giving us a brief description of the change and telling us whether it was successfully implemented or not.

Note to instructor:

- Set up two chart pads in the front of the room. Label one "Reasons for Success" and the other "Reasons for Failure."

Call on three or four volunteers to share. After each description, ask them to think of reasons for success OR reasons the initiative failed, and write these reasons on the charts.

All the changes you just described, whether implementation was successful or not, illustrate the fundamental components of an effective change initiative. In this module, you will learn about these components in detail and how they will impact your ability to lead change.

Specifically, you will be able to

- Differentiate between the leadership responsibilities in the three phases and two levels of change
- Draft a plan to create a Change Team
- Create a plan to mobilize support and overcome resistance to the proposed change

Module 9 – Leading Change

- Draft a change-initiative work plan
- Explain the steps needed to monitor and adjust during implementation
- Determine a process to sustain the change after implementation

Instructional Input:

Lecture/Discussion: 30 minutes

In addition to guiding you to lead change, this module will also link previous modules which all inform how you will lead change. Your role as leader is **the most critical role** in any change effort. Keep in mind that **creating change is an act of leadership**. In fact, the ability to effectively lead change is considered a fundamental leadership competency.

All of you were **elected based on some promise of or hope for change** or improvement. Your ability to achieve this change will, in large measure, define the success of your first term in office.

Your role as a leader is, first, to clearly define and articulate your **leadership direction**, which describes the “end state” you intend to achieve. Once you have done that, you need to determine how to get to that “end state.” This is all about leading change.

Effective change does not happen by accident. It requires careful planning, active leadership, and deliberate execution.

If you do not actively follow through on your leadership direction—your promise for change—your staff and constituents will see you as an ineffective leader, and you will lose support. Or, if you try to make changes that are not carefully planned, actively led, and deliberately executed, you are likely to create chaos—and this often results in anger and mistrust toward you from your staff and constituents. These situations are not uncommon. We see them across the spectrum of political offices and organizations. We all know of or have been on the receiving end of ineffective attempts at change, and we can all draw on our experiences to help us avoid some of those mistakes.

All of you have been very thoughtful in your discussions about your leadership direction and some of the things you need to do to achieve it. And you all have drafted a “Case for Change” for a change initiative you will begin to work on today. In this module, you will begin to create a plan for carrying out your change initiative.

Identification of three phases and two levels of change

During this module, we are going to present a conceptual model that presents effective change as a three-phase process that occurs at two levels. Keep in mind that your active leadership is critical in all phases and at both levels.

Three phases of change

There are three phases of change: 1) preparing, 2) implementing, and 3) sustaining. *Although these are presented as three distinct phases, there is some overlap and it is not as 'clean' when working through a real change effort.*

Two levels of change

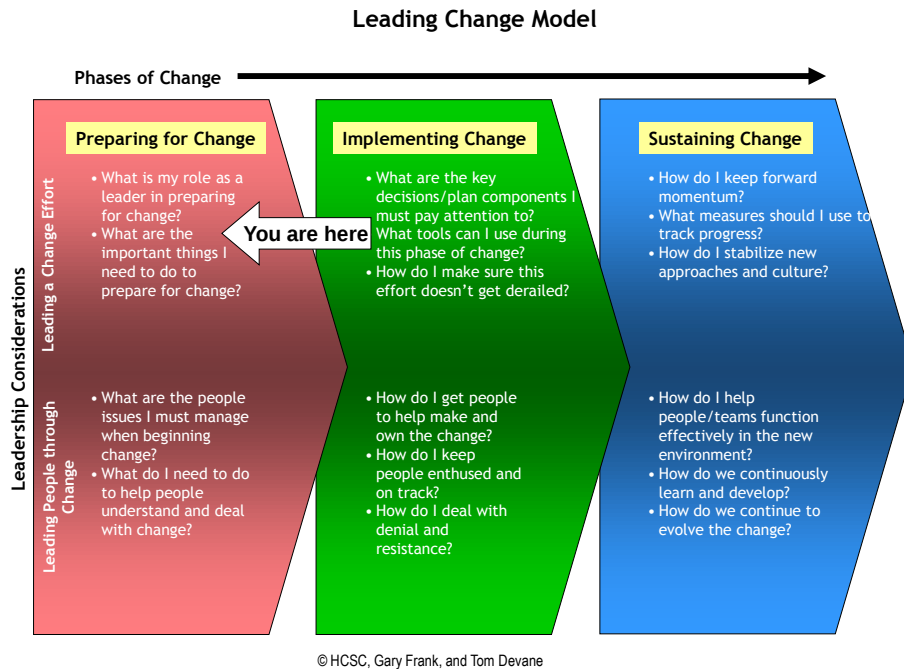
Each of the three phases of change must be led at two levels: 1) leading the change effort as a project and 2) leading people through change. The two levels are interrelated. For purposes of today's discussion, we will focus on them separately; however, as you begin to plan your change, it will become clear that both levels are essential and inter-related every step of the way.

Change - Phase I (preparing) at level 1 (leading the change effort as a project)

CHANGE MODEL

The change model, our guidepost for the next two days, is illustrated here – three phases and two levels. You have this graphic in your participant manual. None of this is mutually exclusive, it is all inter-related and often happening at the same time. We'll start our discussion with a focus on Phase I Preparing at Level 1 Leading the change as a project.

Module 9 – Leading Change



The key leadership responsibilities for Phase I, Level I are

- **Articulate a clear and inspiring leadership direction**
- **Create a compelling case for change**
- **Establish a change team**
- **Assess your current situation**

Let's take a closer look at each of these.

Note to instructor: Cover the first two briefly, since participants had a full module on leadership direction and have already been introduced to (and have worked on) a case for change. Most of the discussion should focus on the third and fourth responsibilities.

KEY LEADERSHIP RESPONSIBILITIES:

ARTICULATE A CLEAR AND INSPIRING LEADERSHIP DIRECTION

This was the subject of Module 3 on Monday. You cannot overestimate the importance and power of leadership direction. Unless you can articulate a future that is attractive and will inspire people to join you in creating that future, your change effort will be an uphill battle and you are unlikely to fully achieve the change.

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Ask: What did you learn on Monday about why commitment is important?

Responses should include: To get stakeholders to embrace the leadership direction; people are inspired when they feel that they are heard; getting buy-in is the foundation of the change effort.

Remember, moving to change without a clear leadership direction is nothing more than an empty promise.

D x V x F > R

Beckard's Change Model

Three factors must be present for meaningful organizational change to take place:

D = Dissatisfaction with how things are now;

V = Vision of what is possible;

F = First, concrete steps that can be taken towards the vision;

If the product of these three factors is greater than

R = Resistance

then change is possible. If any of D, V, or F are absent (zero) or low, then the product will be zero or low and therefore not capable of overcoming the resistance.

Dissatisfaction times Vision times First Steps must be greater than Resistance

CREATE A COMPELLING CASE FOR CHANGE

- The current state of affairs that you want to change;
- The consequences of continuing with the current state of affairs;
- The change you want to make;
- The benefits of that change and who will be affected by them.

The case for change must create a sense of urgency for making the change.

Ask: Who has seen the movie “Miracle on Ice” about the US Olympic hockey Team in 1980?

Ask: (if anyone has) What were some of the reasons this win was such an inspiration to our country? What was going on in the world in 1980?

Note to instructor: If no one has seen the movie, give a very brief

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explanation about the US hostage situation, Iran-Contra, Afghanistan/Russia, gas rationing, inflation. The US was being beaten on a number of fronts

We have talked about having a clear and inspiring leadership direction that creates a sense of urgency in your organization...about a compelling case for change.

In this video, we see Herb Brooks (played by Kurt Russell) going in for an interview to be coach of the US Olympic Hockey Team. He is giving the hiring committee his case for change. Let's watch:

[Insert 4 minute clip from the movie "Miracle on Ice" – "Lofty Goal"]

Note to instructor: Debrief video.

Ask: What did Herb Brooks do to initiate change?

Responses should include: He had a vision, he had a plan. He used this to inspire the others to talk and create a case for change.

ESTABLISH A CHANGE TEAM

While you are the leader of the change initiative, you will need a change team to support you. The change team should be formally established with a team coordinator and well-defined roles for all members.

You will also need to establish a communication system among team members and between team members and yourself.

The size and make-up of the change team will depend on the nature and complexity of the change initiative. Keep in mind that, no matter how small your office, you will, in most cases, need support for your change initiative. Let's talk a little about change teams, then we'll look at how they could be established in even a very small office.

Ask: Think of the video: who would be part of Herb Brooks' change team?

Responses might include: assistant coaches, Olympic Committee representative? A player? All players?

Ask: Who would be part of you're the change team for a new jail?: Architect, Project manager, Jail administrator, Budget/finance person, A jail employee (representing group most affected)

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You want the right people in the room.

Note to instructor: review the following points briefly

Ask: Think back to the beginning of this section when we asked you to think of some reasons that change initiatives failed. How could a Change Team have helped move the change forward?

Responses will likely include: Provided support; help communicate the reasons for the change; helped you discover gaps in your plan; provide ideas for filling the gaps; help you with all the tasks needed to implement the change.

Key change-team responsibilities

- Develop strategies to prepare for, implement, and sustain the change;
- Communicate the need for and benefits of the change to stakeholders;
- Develop strategies to overcome resistance to the change;
- Develop and execute the work plan for the change initiative;
- Monitor and communicate progress of the work plan to stakeholders;
- Assess the effectiveness of new processes and measure the results of the change.

Ask: Who else is a part of that team? And why do you choose them?
They have the knowledge and resources
They need to be part of making that change happen

Change team members - knowledge, skills, and abilities

Collectively, change team members should:

- Be open to challenging the status quo;
- Have subject-matter expertise related to the change;
- Know stakeholders and be able to establish rapport with them;
- Have communication and presentation skills;
- Be politically astute;
- Be able to see the “big picture.”
- Be organized and able to attend to details.

Note to instructor: Participants from a small sheriff’s office may think they do not have the resources to establish a change team. Stress that having a change team is necessary to the change effort. ASK how they think this could be accomplished in a small office.

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It is not the size of the team that is important. You want people who are involved in the work, and who will be part of making the change happen.

ASSESS YOUR CURRENT SITUATION

To effectively make a change, you need to assess your current situation. You began to do this when you completed your pre-program assignment. This will help you define the scope and types of work needed to make the change, and it will give you a baseline for measuring the success of your change initiative.

In conducting this assessment, you should consider:

- Strengths and challenges inside your organization as they relate to the change;
- The support systems that need to be aligned with the change to ensure the functionality and sustainability of the change;

We refer to this as support congruence, all systems required to support the change have been aligned with the change. The systems include staff recruitment, selection and promotion; performance review; policies and procedures; staff training; technology. Support congruence makes the change both functional and sustainable. Some changes require broader levels of support congruence than others.

Ask: What are some ways you would want your recruitment and hiring process to align, or be congruent with your change process?

Responses will likely include: Align job description with the change you seek to make; seek applicants with skills and experience to meet the revised job description.

Ask: What happens if your recruitment and selection process is NOT aligned with the change you are seeking to make?

Responses should include: If new-hires do not have the skills and experience to carry the change out, the Sheriff is likely to meet resistance because they are not able to perform the necessary tasks; more time would be needed for training and re-training which requires additional resources.

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Back to things to consider when assessing your current situation:

- Conditions and trends in your external environment (legal, political, social, ecological, economic) as they relate to the change;

Note to instructor: Refer to the previous module on the external environment.

- Sources of support and opposition among stakeholders, both internal and external. These stakeholders are not on your change team, but can make or break your ability to make change successful.

For each stakeholder, you should:

- Identify the stakeholder's role(s);
- Determine the current of potential level of support or resistance.

Ask: Who are some of your primary internal and external stakeholders? (who are the people/entities in that central circle, who will be instrumental in guiding the change)

Responses will likely include: specific businesses, non-profits, citizen groups, staff members.

Ask: In what ways are they critical to the successful implementation of your change?

Responses should include: financial and political support; information and expertise; actually carry out the change; will be impacted by the change in some way.

Guided Practice: 1 hour and 30 minutes, including one 10-minute break

Change: Phase I (preparing) at level 1 (leading the change effort as a project)

Note to instructor: Tell the participants that they have already begun to address the first two responsibilities (leadership direction, case for change) and that, for the first part of this exercise, they will focus on creating their change team and assessing the current situation.

Individual work – main classroom

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ASK to pull out their completed homework before you give instructions for this section.

In the main classroom, with a focus on the change they identified, they will determine potential change team members by name and title, will note the knowledge, skills, and abilities each will bring, and preliminarily define each person's role on the team. Direct the participants to the change team form in the participant manual. Group instructors should be available for help as needed.

Next they will complete a portion of the key stakeholder chart (direct them to the form in the participant manual): identify the key stakeholders (individuals or groups, internal or external), the role(s) of each on the change team (e.g., advocate, expert), and whether the stakeholder is supportive of or resistant to the change they identified in their case for change. They will NOT complete the “strategies” section of this chart just yet.

Remind them that don't want the whole world, just key stakeholders from the center circle

Give **20 minutes** for this part of the activity.
Then direct participants to the group breakout rooms.

Review instructions for the individual part of this practice activity first, let everyone finish, THEN review the instructions for the group report out and feedback. And then send them to breakout rooms all at the same time.

Group work – breakout rooms

Assign participants to the same small groups they were in for Module 3 “Defining Your Leadership Direction.” Tell them they will briefly summarize their case for change, identify their change initiative, list the members of the change team, and summarize their work on the stakeholder chart. Each participant will have **7 to 10 minutes** total to present *and* receive feedback from the other members of the group.

Allow the group a total of **70 minutes** for reports and feedback and a **10-minute break**.

Give participants a specific time to report back to the main room.

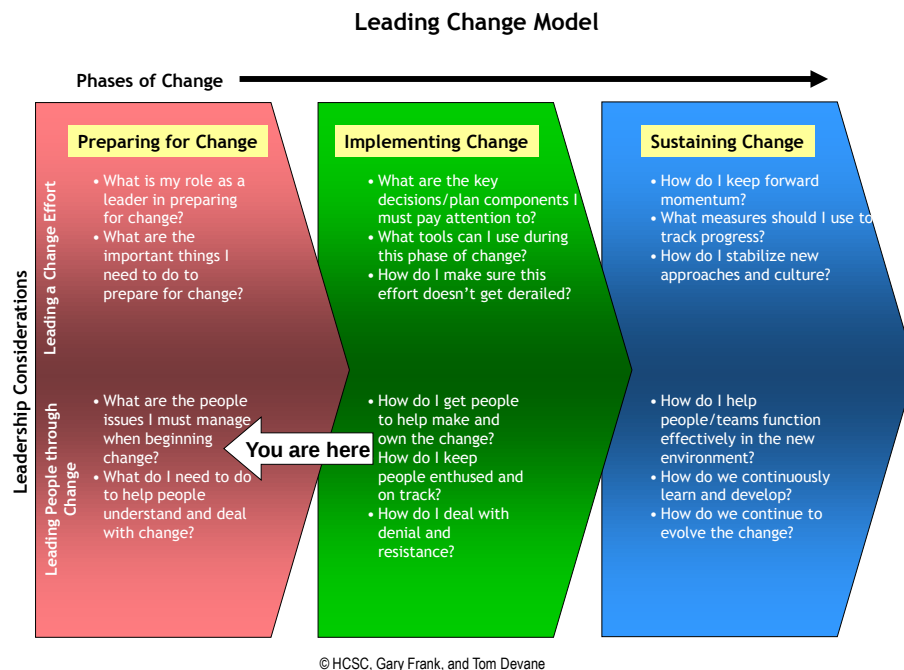
Each group's instructor will facilitate the reporting and discussion.

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Instructional Input: (30 minutes)

Lecture: Change - Phase I (preparing for change) at level 2 (leading people through change)

Now we're ready to move to Level 2 of the first Phase, focusing on guiding people through the change.



The **Key Leadership Responsibilities** for this level are:

- **Create understanding**
- **Mobilize support**
- **Overcome resistance**

Let's look at what each of these responsibilities entails.

CREATE UNDERSTANDING

It is essential that people understand the change you are trying to make.

Share your case for change and help others understand how it creates a more desirable future for all. Contrast “what is” with “What could be”

ASK: How will this decrease resistance and increase support?

Responses should include: If people/stakeholders can see the purpose and benefits of the change, they are more willing to expend the energy and effort to lend support.

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Include others in the change effort so they can see first-hand what you are trying to do and can share this information with others. Exemplary leaders understand you can't have great success alone. You have got too much at stake. You need to build support by involving others.

ASK: In addition to sharing information about the change, what are some reasons for including others in your change effort?

Responses will likely include: So they feel ownership in the process; give others a chance to enhance the thinking; other people might think of additional ways to implement the change; others might think of additional ways to garner support.

Be visible and vocal in your efforts to advocate for the change and keep all key stakeholders informed.

ASK: What is likely to happen if stakeholders are not kept informed, or kept 'in the loop'?

Responses will likely include: Trust can be diminished; they begin to question and make up stuff; if they are not informed they can become misinformed.

Listen to and dialogue with people – It's the best way to meet people "where they are," dispel rumors, and make sure people have accurate information.

Ask: What's important about listening to and dialoguing with people?

Responses will likely include: Stay connected; dispel myths

Anticipate and answer "burning questions." People will have strong concerns about the change, but the concerns will differ by organizational level. The people leading the change often are not thinking about the same things as those affected by the change.

Inviting and responding to questions chips away at resistance and builds trust.

As the leader in the *preparation* phase, you are typically faced with big or broader questions:

- Are we prepared to do this? Do we have the time, resources, and budget to pull this off?

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- Is my leadership direction clear? Have I painted a clear, compelling, attractive image of the future I hope to create?
- Have I developed understanding, alignment, and urgency about the change?
- Do I have the support I need? Can I get it? What's it going to take?

However, others on staff are concerned with different issues, many of which relate to people's fear of the potential effect of the change on their work, their ability to perform, and their value to the organization. These concerns translate into what we call "burning questions."

Ask: What questions will your command staff likely have about the change effort?

Responses will likely include:

- What will this mean for my division and the resources I command?
- I've worked hard to get this in the shape it's in. Does anyone care about that?
- Will I still be needed in the same way I am now?

Ask: What questions will your officers and line staff likely have about the change effort?

Responses will likely include:

- I thought things were just fine. What do you mean we have to make significant changes?
- What will this mean for my job?
- Am I personally at risk?
- I'm good at my job now. Will I be able to learn the new methods?

It is important to anticipate and address these questions to the degree possible. Doing so directly contributes to your responsibility to create understanding, and it will help allay people's fears. Keep in mind, though, that leading people through change means being sensitive and responsive to their needs while moving deliberately forward with the change. It does not mean caving in to people's misgivings.

MOBILIZE SUPPORT

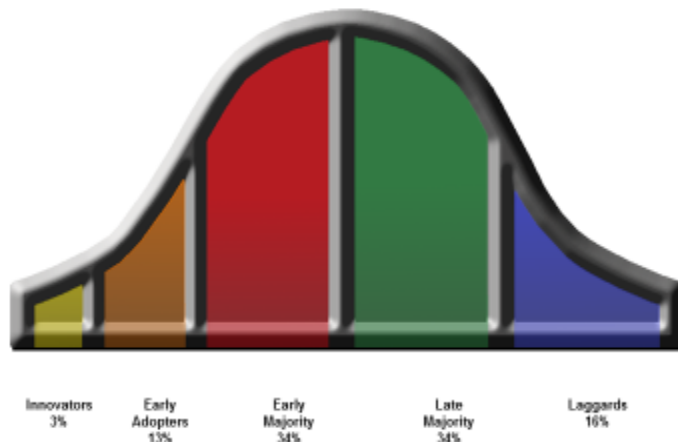
In 1962, Everett Rogers published *Diffusion of Innovations*. Rogers created the Innovation Adoption Curve, which is useful for thinking about mobilizing support because a change is like an innovation. Let's

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take a look at the innovation curve. One example is shifting to a direct supervision jail.

Note to instructor: Show the Innovation Adoption Curve and briefly identify the categories, then focus on the information at the end of this section on how we mistakenly concentrate on the laggards, when we should focus on the “wait-and-see” middle group.

Rogers Innovation Adoption Curve



- There is a small percentage (approximately 3%) who are innovators. They “get” the change and will help push it forward. They will be communication allies and change agents for you.
- About 13% are what Rogers called early adopters. These are people who catch on quickly, see the advantages of the change, and will function as opinion leaders.
- About 34% of the population are in the early majority category. They are on average quicker to accept change. They watch the early adopters for signals.
- Another 34% of the population are in the late majority category. They are more reluctant than the early majority, and they watch them for signals.
- About 16% of the population are in the category labeled “laggards.” These people will typically hold out and come along only when the change seems inevitable. Your most vocal resistance often comes from this category.

Our tendency is to focus on the laggards, but actually this is not productive. Your best strategy as the change leader is to focus on the “wait and see” middle. It’s your biggest payoff point. If you can tip

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them, you'll have the support you need. What's more, you should enlist the innovators and early adopters to help with mobilizing the middle. Be intentional about where you focus your effort. Look for those people who go first and influence others. Get them fully involved in the change effort.

OVERCOME RESISTANCE

Resistance to change sounds so ominous—like an organized movement against progress. Actually, resistance to change is a very normal response.

Think of a change you were asked to make, one you resisted. This can be a personal or a professional change.

Ask: What were you afraid of losing or giving up?

Responses will likely include: feeling like I know what to do; free time; ability to manage my time well; power.

Resistance to change is our attempt to protect ourselves from disruption and keep things the way they are, the way we understand them best. Often we perceive this disruption as a loss. Before we dive into the stages, we want to show you a short video about a giraffe dealing with change.

Note to instructor: Show 2 minute video clip of Giraffe in Quicksand (Giraffe goes through stages of Denial, Anger, Bargaining, Depression, Acceptance...ends just after he hits the bottom), then debrief with the group.

William Bridges, author of *Transitions* and *Surviving Corporate Transitions*, has identified six kinds of loss associated with change.

1. **Loss of attachments** – Loss of connectedness to group membership and specific relationships, both peer and hierarchical
2. **Loss of turf** – Loss of physical territories as well as territories defined by expertise
3. **Loss of structure** – Disruption of patterns of activity, authority, schedules, policies, deadlines, and physical arrangements
4. **Loss of future** – Loss of the present that we believe will lead to an acceptable or desirable future
5. **Loss of meaning** – Loss of attachment, turf, structure, and future all contribute to loss of meaning
6. **Loss of control** – Disruption of those things we believed we control, such as time, tasks, technology, and resources

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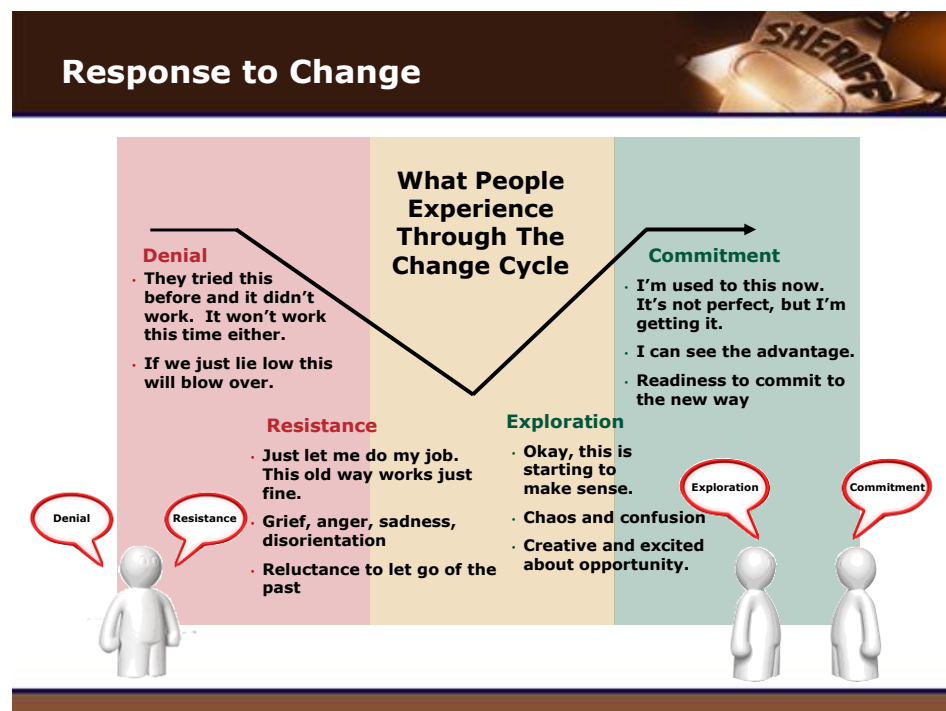
People resist change not only because of a perceived or real loss, but also based on:

- Fear of the unknown – What if the earth really is flat?
- Fear of failure – What if I can't make it?
- Disagreement on the need for change – The way it is now is not that bad.
- Misunderstanding and lack of trust – Why would I believe the leader's case for change when I don't trust him, and I suspect his motives?
- People's lack of understanding or experience of failed change

Fear of the unknown and fear of failure can persist long into the change effort and must be addressed throughout; however, these fears often are particularly strong in the preparation phase of change.

Note to instructor: Ask participants to share some of the ways in which resistance to change has been demonstrated in their organization.

Let's take a look at a graphic model that shows the progression of how we respond to change.



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Progress through the curve is highly individualized. For some people, stages such as denial and resistance may be fleeting, and they move directly to exploration. For others, denial may be brief, but they get stuck for a long time at resistance and are unable to move to exploration.

Resistance may present itself in a variety of ways. The resistance you hear and see is overt resistance. Resistance you do not hear or see is covert resistance, which can be more dangerous.

Note to instructor: Note the similarity between the examples listed above and those the participants identified earlier.

STRATEGIES FOR OVERCOMING RESISTANCE

In the preparation phase of the change effort, much of the resistance comes from fear of the unknown. Because of this, the first leadership responsibility—create understanding—is directly linked to your ability to overcome resistance. You will see this reflected in the following strategies to deal with resistance.

- Communicate and provide clear, complete information regularly and frequently. Develop a mechanism for formal updates on the change initiative. People are afraid of the unknown, and when they do not have information, they assume the worst and start generating negative rumors. You should not only let people know what is changing, but you can also reassure them about what will not change. One time is not enough. Research shows information needs to be communicated 7 times before people “hear” it!
- Do not be angry or defensive in response to resistance. This will create more resistance. Instead, explore the reasons for the resistance and address those reasons—many of which will involve a perceived or real loss.
- Address rumors when you hear them, and address them with everyone. If a few people believe and are generating the rumors, it is likely that many people have heard and believe them. Also, in staff meetings, you can encourage staff to identify rumors that cause them concern, and you can take that opportunity to provide accurate information.
- Because people have a strong need to influence their future, involve them in the change effort and help them have a positive experience. They can then relay positive information to others and help advocate for the change.

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- Consider what you learned in this week’s module on power and influence for strategies to persuade others to support the change initiative.
- Lead gently, but firmly, forward.

Pair-Share:

Note to instructor: Ask participants to turn to a seat partner and share with each other two key things they just learned about addressing resistance to change.

Guided Practice: 25 minutes

Change: Phase I (preparing) at Level 2 (leading people through change);

Practice Activity

Note to instructor: Explain the assignment, as follows.

Direct participants to the form in their participant manual for this exercise.

Individually, participants will

- * identify three “burning questions” they anticipate related to their change initiative.
- * for each question, determine the potential source and write a brief response.
- *review their key-stakeholder chart. For each resistant stakeholder, they will identify the reason for the resistance and one strategy for overcoming it.
- *share their work with a partner in their table group.

Instructors should check in with participants to make sure they are including adequate detail.

They will have **25 minutes** to complete this activity.

Adjourn for the day

Instructional Input: 25 minutes [begins on final morning]

Lecture: Change - Phase II (Implementing Change), Level 1 (Leading a Change Effort at the Project Level)

Note to instructor: Conduct a brief review of the previous day's work by having a few volunteers respond to each of the following questions. Make sure to call on different people each time. Correct and clarify as needed.

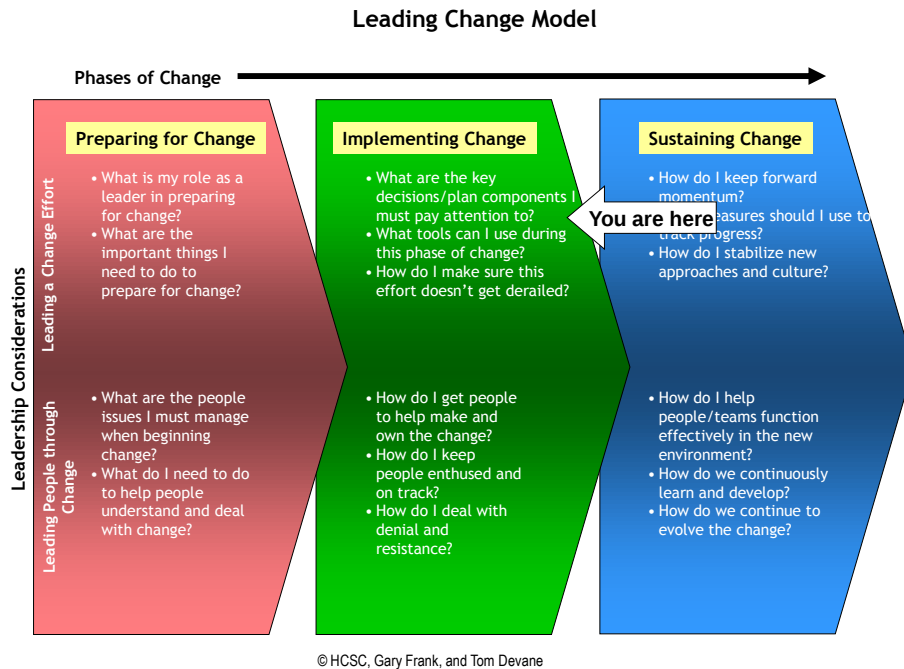
ASK:

- How can a Change Team help you gain support for an effective and successful change process?
- What are some of the responsibilities of a Change Team?
- What steps can you take to create understanding about your change plan among stakeholders?
- Why is this critical to success?
- What are some reasons people resist change?
- Would someone share your understanding of 'support congruence'?

Great recall. I think we're ready to move on.

We have now completed our discussion on Phase I - preparing for change, at each of the two levels: leading a change effort and leading people through change. Now we're going to focus on *Phase II - implementing change*, starting with *level 1 – leading a change effort at the project level*.

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The **Key Leadership Responsibilities** for this level are:

- **Develop and Implement a Work Plan**
- **Address Obstacles to Change**

Let's look at what each of these responsibilities entails.

DEVELOP AND IMPLEMENT A WORK PLAN

People facing change can be reassured by:

- Knowing there is a concrete plan for moving forward;
- The ability to see for themselves how the plan is coming along.

A well-developed work plan will help you:

- Break things down into manageable component activities;
- Orchestrate multiple streams of activities simultaneously;
- Track the progress of each step in the plan.

Your change team should have primary responsibility for developing the change-initiative work plan. You may also be involved, or you may choose to have final approval authority only.

Let's think about the example we have been using (in your workbook).

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The **key steps in creating a work plan include**

- Defining the change initiative
- Defining the major stages of action needed to accomplish the change initiative
- List essential tasks for each stage.

[Note to Instructor: there are three slides with lists and a sample chart.]

Define the change initiative.

Example:

The jail facility will be, at a minimum, safe and secure.

Define the major stages of action that need to be taken to accomplish the change initiative.

Example:

Initiate a partnership with county commissioners to address jail issues.

Identify and document jail issues.

Set priorities for addressing issues, based on level of threat to safety and security.

Identify resources needed to resolve highest priority issues and sources of funding and assistance.

List the tasks that need to be completed to achieve each major stage.

For each major stage, the work plan needs to include:

- A sequential list of all related tasks.

For each task, you also need to indicate:

- A start and end date for each task.
- Names of person(s) responsible for completion of each task;
- Resources (staff, funding, equipment, supplies, other) needed for completion of each task. The level of complexity will depend on the complexity of the change.
- Space to note the status of the task. For each task, you can simply list “C” for “complete,” “IP” for “in-process,” or “NB” for “not begun.” This will allow you to easily track the progress of the work.

Note to instructor: After the discussion of the task list, reinforce the need to **consider support congruency**. Actions related to support congruency are most likely to appear here and the participants should include these in the task list.

You see on the slide some examples of support systems or activities that need to be considered in relation to a change initiative. For each example, I'd like for you to share your thoughts about what, if anything, might eventually be done to support the change initiative ***The jail facility, at a minimum, will be safe and secure.***

- Training
- Job descriptions
- Hiring criteria and practices
- Policies and procedures
- Performance appraisals
- Organizational or staffing structure

Note to instructor: For each of the systems or activities ask one or two volunteers to share what needs to be done. Clarify as needed

ASK: Are there other support systems that need to be aligned with the change initiative?

Responses will likely include: will vary.

ADDRESS OBSTACLES TO CHANGE

Resistance to the change

During the preparation phase, much of the resistance comes from fear of the unknown. You took steps to address the resistance and gain support. But even with all your careful planning, implementation doesn't always go as planned.

ASK: Why not?

Responses will likely include: situations change; there can be unintended or unforeseen consequences; there can be roadblocks that were not anticipated.

ASK: What effect can a not-so-smooth, or even a rocky implementation have on staff and other stakeholder support?

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Responses should include: The support can turn to resistance; resistance can strengthen; staff and others can lose trust in management; their old attitudes “I liked things the way they were” quickly return.

The momentum in implementing the change can be greatly diminished if this resistance is not addressed. The strategies for overcoming resistance we identified under the preparation phase can be used effectively here. Be open about mistakes or unintended consequences and involve others in addressing these issues.

Limited time, budget, and resources

The second obstacle—limited time, budget, and resources—is one of the most significant and frequently encountered. Unforeseen resource constraints are a real and persistent threat to any change effort. Major changes may span several fiscal cycles. Care must be taken to ensure that the human, capital, and operating resources are maintained at the levels required to support the effort. Resource constraints, including time, that delay or stall the effort can contribute greatly to ultimately derailing it.

Organizational inertia and politics

Organizational inertia can easily result if you have not identified and aligned *processes—and the people who make those processes work*—with the change you want to make. Different parts of the organization may be slow or unwilling to change for various reasons, including a perceived or real loss of “prevailing advantage” or power.

This is further complicated when the change is so broad that it requires the alignment of *practices and people* in other agencies. For example, if you change your arrest practices, will the prosecutor change their practices to align with yours? What changes will they have to make for this alignment? If the prosecutor senses the possibility of a loss of territory, influence, or power, they are unlikely to change their practices to align with yours.

Organizational inertia and politics can easily derail a change effort.

Note to instructor: Ask participants to give a couple examples of this. Discuss the examples very briefly.

Ask: When have you seen this type of inertia and politics at play? (get a couple of examples, then) How did it derail a change effort?

Responses will vary

Guided Practice: 45 minutes

Practice Activity: Draft work plan

Phase II (implementing change) at level 1 (leading the change effort as a project)

Note to instructor: Explain the assignment, reminding participants that the draft work plan is based on their case for change and the other work they have completed thus far in this module.

Participants will work individually to begin a draft of the change-initiative work plan. Explain that they will write their change initiative on the form in their participant manual, identify all major stages, and list a couple tasks under each stage.

Remind them that development of the work plan is the responsibility of the change team, but we are asking them to complete this exercise so they understand what is involved in the work plan and because they may be part of the change team.

Instructors will check in with each participant during the exercise. Participants will have **25 minutes** to complete their work. Tell them how much time they have for individual work, how much time in pairs, and when (at what time) to be back in the main room.

Part 2

Participants will share the stages of the work plan with a partner from their small group for feedback. The pairs will have **20 minutes** for this. Instructors will check in with the pairs during their discussion.

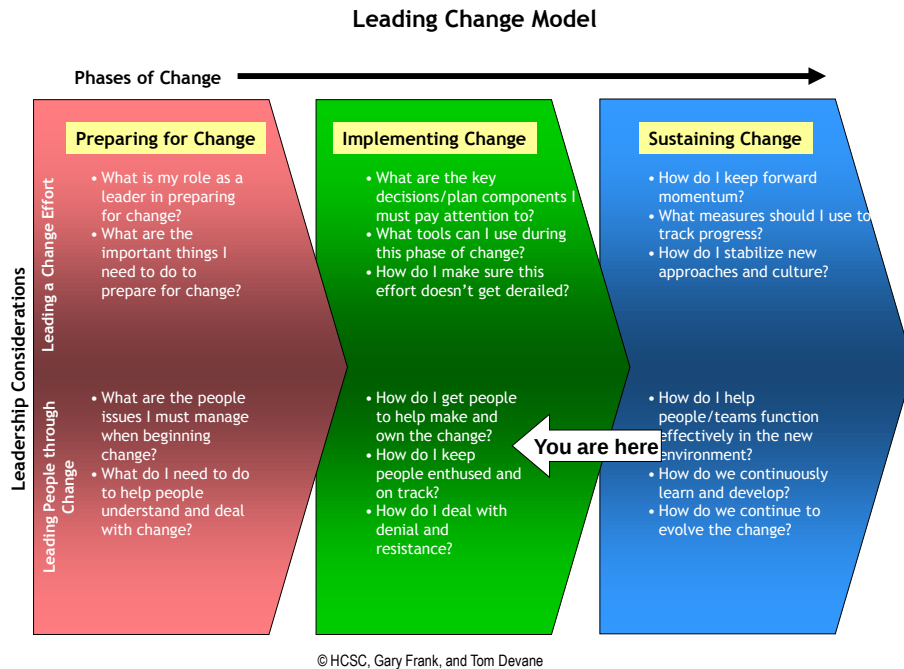
Break: 10 minutes

Instructional Input: 25 minutes

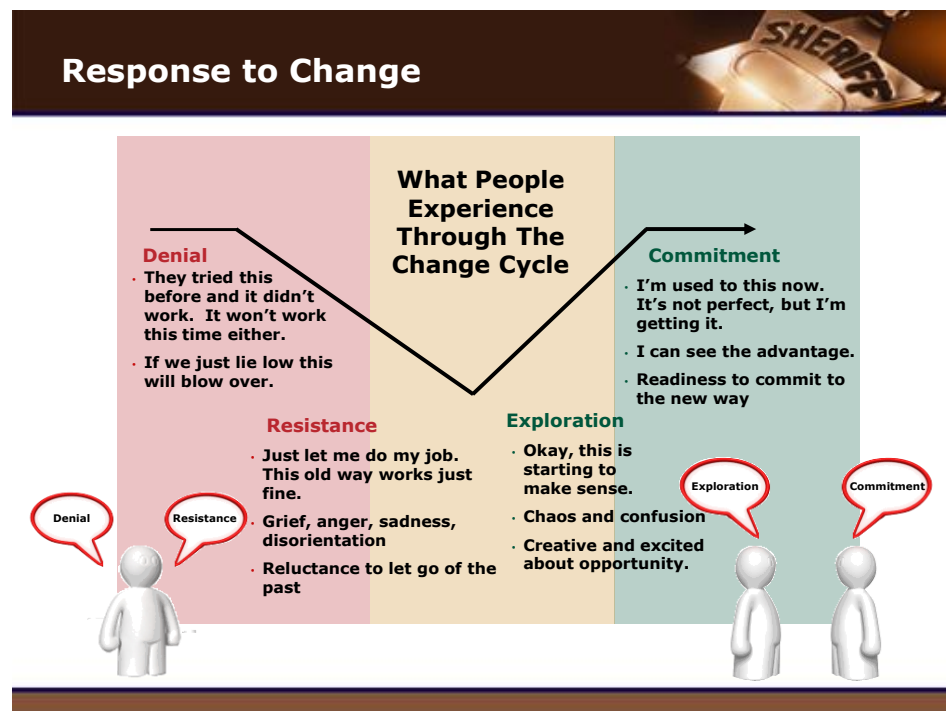
Lecture: Change - Phase II (implementing change) at level 2 (leading people through change)

During this section of the module, we will again focus on *Phase II of change (implementation)*, but this time at *level 2 (leading people through change)*.

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Let's look again at the change curve diagram we saw earlier in the module.



Ask: What is an example of a change process you went through when you encountered a massive resistance?

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Possible responses include:

Equipment damaged, Employees take sick leave, The process is sabotaged in some way, Loss and grief

The implementation phase of change takes us into the trough of the curve. The organization is in-between and so are people. Some may still be stuck on denial and resistance. Most will have passed denial and resistance but will not yet be to exploration. This is what Bridges calls the neutral zone. Managing Transition by William Bridges is an excellent resource. Things are not yet as they will be and they are not as they once were. It's a time when you as leader have to attend to people's interest and energy.

The Key Leadership Responsibilities for this level are:

- **Help People Co-Create and Own the Change**
- **Help People Stay Enthused and On Track**

Let's look at what each of these responsibilities entails.

HELP PEOPLE CO-CREATE AND OWN THE CHANGE

Consider this quote, "Change imposed is change opposed." What you want is for people to own the change the same way that you and your change team own it. The notion of co-created change is directly related to our earlier discussions on the importance of involving people who will be affected by the change and the need for people to influence their futures.

The most successful change is when the plan for change is owned and implemented. When a change is owned it has a much better chance of success than when the leader has to go and sell the change. When people participate in designing and implementing the change, they own it. This is what is meant by "meaningful participation."

Why participation?

ASK: Why do you think participation is important?

Responses should include:

- It helps people understand the change and the process more deeply. When the leader engages people meaningfully in making change, they begin to understand the forces that are acting to

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maintain the status quo and what it's going to take to move them. They also get much more in touch with the objectives of the change.

- It helps people co-create and shape the change along with you. The change will likely look different than you may have initially conceived it, and it will likely be much better.
- It helps build people's business literacy, e.g. they learn about the budgeting or procurement process, they learn what things cost, etc.
- When people are able to influence their own future, their sense of contribution and belonging are strengthened.
- If they are participating, there are no or few unknowns, therefore fear is reduced.

Harwood Case

We'll now look at the Harwood Manufacturing case which examines three different participation conditions and how these conditions affected their results.

Note to instructor: Refer to and discuss the Harwood Manufacturing Case presentation slides.

Slide 1: The No Participation Group. The first line shows production. Change occurred (gap). Production.

Slide 2: Representative Participation. We want some representatives from the line to work with us on the change in how we manufacture blinds. The red line shows this group. There was an initial drop with the change, and then the production ended up better than before.

Slide 3: Total Participation where everyone was involved. There were two of these groups. There was a gap in production with the change. They stayed higher, but at the end they were at about the same level as the representative participation. But their production was higher all along. Of course there was a cost involved in taking the representative groups off the line. But the benefits were huge.

Ask: What do you learn from that?

Responses should include: bring your people in to the process. They are more likely to accept the change. It depends on how long it will be before the initiative takes place.

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The bigger the impact of the decision to change, the more participation you should have, fully letting everyone knowing what's going on. This minimizes resistance.

Ask: When you bring people in to participate, what is important?

Responses should include: Parameters of the group's authority (input only? Make recommendation? Make final decision?

What's the advantage of giving the group final decision – if it tanks it's their fault; you might have to live with something you don't like; you need to be careful to whom you give this authority

One of our key lessons from the Harwood Manufacturing Case is that participation is one of the most effective change management tools available to you.

Meaningful participation

Note to instructor: Highlight the difference between meaningful and meaningless participation. For each of the three examples given below, ask if the participation is meaningful or not.

Ask: How were each of these meaningful participation? Or not?

--A manufacturing plant that was making significant equipment and layout changes organized an employee team to pick paint colors for the walls and the cafeteria.

--Another company commissioned a "change" team and put them in charge of the "spirit" campaign that included buttons, T-shirts, and other items that said "Change with me!"

--Another company chartered a team to develop a 4 day/10 hours per day work schedule that would meet strict criteria, including expanding production time, decreasing overtime, and meeting all production requirements.

The ways of meaningfully engaging people in change are limited only by a leader's imagination. Any activity that makes a meaningful contribution to the change effort should be considered.

Also, it is critical to be clear on the decision making process when you involve others. You need to let people know if they are responsible for making the decision or if they are giving you recommendations only, and

Module 9 – Leading Change

the final decision is yours. Clarity on decision making is critical, and often overlooked, in setting the expectations for the work of others.

Note to instructor: Remind participants of the discussion on the decision-making process in the module on the executive team.

HELP PEOPLE STAY ENTHUSED AND ON TRACK

It is important to keep people enthused and on track. To do this, you should:

- Maintain visible leadership – Visible, consistent demonstration of leadership is essential, especially in the toughest phase of the change.

ASK: What are some specific ways you can maintain visible leadership?

Responses will likely include: will vary

- Eliminate obstacles that create psychological blocks

ASK: How can you identify obstacles to progress?

Responses will likely include: Seek help from Change Team; have a process in place to monitor and evaluate progress;

ASK: How could such things as policy and procedure, cultural norms, technology, impede progress?

Responses will likely include:

Although you might not be able to totally eliminate these obstacles, you can seek help to determine how to reduce the impact.

- Highlight short-term wins – Short-term wins are demonstrable evidence that the change is having the intended effect. Short-term wins should be:
 - Visible – People can clearly see for themselves that the change is real.
 - Unambiguous – There is no argument over what the short-term win is or that it has been achieved.
 - Clearly related to the larger change effort.
- Provide recognition and reward – This includes both monetary and non-monetary recognition for all forms of forward progress.

ASK: What are some examples of meaningful non-monetary recognition you could provide?

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- Openly share progress measures – It is important to be open about the progress of the change project. Progress measures, the actual changes, can be posted on an internal or external web site – depending on the nature of the change and audience – through periodic e-mails or memos, in regularly scheduled meetings, and other, more creative ways. For example, who this person will report to, when this particular information will be online. And if you don't have progress information, share process information. when they can expect more information, the overall plan for how the change will roll out

Spending time with resisters:

Can cross the line and spend so much time with those causing problems that others feel left out. The resistant behavior can be seen as rewarding (unintended consequence).

Guided Practice: 15 minutes

Change Phase II (implementing change) at level 2 (leading people through change)

Practice Activity

Note to instructor: This exercise asks participants to consider how key stakeholders can be meaningfully engaged in their change initiative.

Large group discussion: 5 minutes

Before participants begin the exercise, briefly present an example for large group discussion, as follows (or the instructor may use another example).

The jail facility will be, at a minimum, safe and secure.

Ask who some of the key stakeholders would be for this change initiative and how they could be meaningfully engaged. Responses will vary. Guide the discussion toward examples of meaningful participation.

Exercise: 20 minutes

Explain the assignment, as follows.

Individually

Using the key-stakeholder chart in their participant manual, identify one way to meaningfully engage each stakeholder in their change initiative. **(10 minutes)**

Pair-share

Participants will share their work with a partner from their breakout

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group.

(10 minutes)

Note: Another way to engage stakeholders is to make sure you match temperaments.

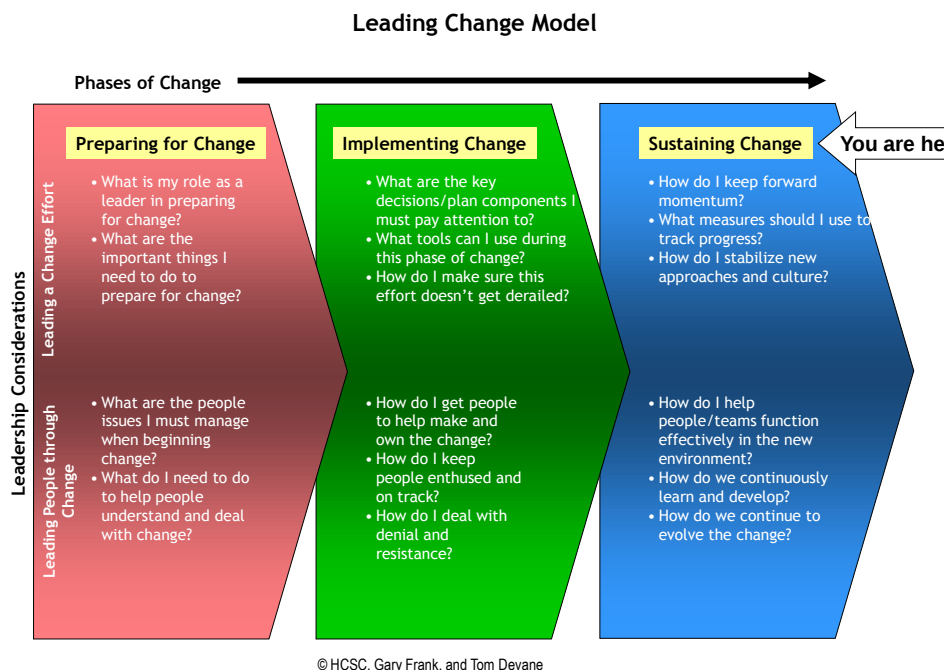
Another way to address an obstacle – check out the history of the relationship between the Office of the Sheriff and this particular stakeholder.

Break: 10 minutes

Instructional Input: 20 minutes

Lecture: Sustaining change

Let's look again at our model for change. We have talked about preparing for and implementing change. You will see that sustaining change is the third phase, and your leadership is again critical at both the project and people levels.



ASK: The model shows sustaining change as a separate phase. How have you been taking steps to sustain the change in the preparation and implementation phases?

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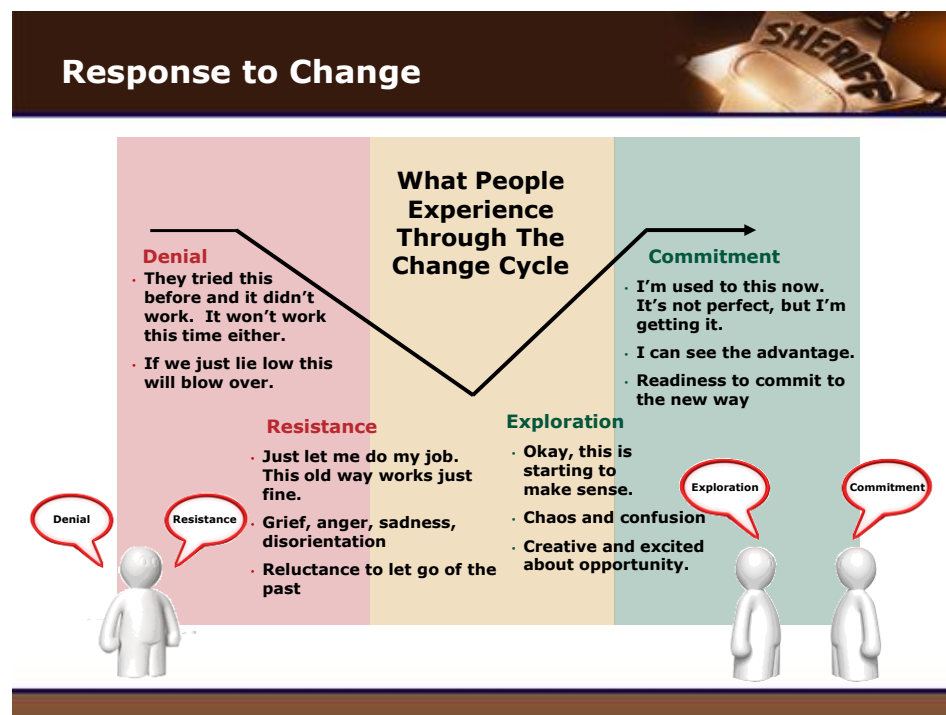
Responses should include:

- Getting the support and involvement of key stakeholders;
- Aligning support systems with the change initiative to better ensure the functionality of the change and, therefore, the sustainability of the change.

If you do not do this work in the first two phases, the change you want to make is not likely to be sustained, or perhaps even implemented.

After implementation, though, your responsibilities to sustain the change continue.

Let's take a look at the change curve again for a moment. Remember that not everyone and everything is moving at exactly the same pace. Generally, however, people are between exploration and commitment.



The change is happening, people are using new structures, methods, and systems, and you're starting to see intended results. They are moving closer to the commitment phase. Your major objectives are to maintain forward progress, anchor the change in meaningful ways, and avoid regression.

Module 9 – Leading Change

Key Leadership Responsibilities include:

- **Model the way**
- **Continue to Build Capability**
- **Continue to Monitor Progress and Ensure Success of the Change**
- **Stabilize the New Normal**

Let's look at each of these in greater detail.

MODEL THE WAY

In times of change, people watch very closely for cues about what is right and acceptable. You can be sure they will be watching you very closely. Take care to lead by example in everything you do. If the change has emphasized a new tool or procedure, then make sure you're using it. If it has emphasized some new behavior, then make sure you're demonstrating it. Perseverance and humility are characteristics that can help you to "Model the Way"

ASK: Who can give us an example of a situation where someone has demonstrated perseverance and humility?

Responses will vary (get two or three)

CONTINUE TO BUILD CAPABILITY

This is the point at which you and others become teacher and coach. Look for teachable moments, then demonstrate what you want and encourage your staff and others. Changes typically have common components, for example: new or enhanced skills and abilities, different behaviors, new or modified technology use, process and procedural differences, and new or different working relationships. Some people will adapt to these more quickly and naturally than others. It is important to ensure that everyone is getting to agreed-upon thresholds of capability. The leader and the change team must continuously assess, build, and reinforce capability in this phase.

CONTINUE TO MONITOR PROGRESS AND ENSURE SUCCESS OF THE CHANGE

Sustaining change requires careful monitoring and, when indicated, adjusting. There are three primary areas you will need to monitor:

Process implementation

Are people implementing the processes related to the change correctly?
Are all support systems and processes functioning in alignment with the change? If not, why not? Potential reasons to explore include:

Module 9 – Leading Change

- Staff need additional training;
- Staff are not capable, even with training, to carry out the processes;
- Staff are trained and capable, but do not want to implement the new processes.

Each of these reasons will require different types of corrective action.

ASK: How would you determine whether the reason is insufficient training, lack of capability, or resistance to and unwillingness to adapt to the new process?

Responses should include: performance observation, review of records, interviews.

ASK: What corrective action would you take in each of these three situations?

Responses should include: Insufficient training – provide additional training; lack of capability – reassign, review recruiting and hiring process; resistance to implementation – address cause of resistance, reassign,

Process effectiveness

Are the processes effective when they are implemented correctly? If not, you may have to revise them.

Outcome achievement

Are you getting the benefits you expected to get from implementing the change?

Knowing this, of course, requires that you have identified the outcomes or goals for the change and have a method of measuring if they have been achieved.

If you are not achieving the outcomes, you should examine:

- Process implementation and effectiveness;
- Whether all your goals can be reasonably attained by your change initiative (some of your goals may be beyond the scope of your change).

Note to instructor: *If necessary*, you may give an example to illustrate the three areas that need to be monitored. You may use the following example (which is very simplistic for illustration purposes) or you may use one of your own.

Module 9 – Leading Change

Goal: Help ensure safety and security in the jail by significantly reducing negative inmate behavior

Measures: Within one year after full implementation of the change, there will be 60% fewer inmate-on-inmate assaults, 50% fewer incidents of vandalism within the housing units, 50% fewer reports of rule violations generally, and 30% reduction in inmate recidivism. (Baseline numbers were identified shortly before implementation of the change).

Information sources: Inmate disciplinary reports, interviews with officers, interviews with inmates, reports of criminal charges filed against inmates for in-jail incidents, reports of inmate injuries.

Change initiative: Require detention officers, who now have almost no direct contact with inmates, to spend 15 minutes of each hour inside the inmate dayrooms to actively supervise inmates, initiate positive interaction with them, and manage their behavior.

Process implementation:

Some officers are spending the required time in the units, but are interacting with inmates only minimally. These officers are willing to go in the unit but don't really understand what to do once they are inside the dayroom. They feel awkward there. We have not adequately trained staff on the specifics of what they should do. We need to develop and provide the training.

Some officers spend no time in the unit. Some of these officers are fearful of going in the unit, but, with adequate training, might gain the confidence to do this. Several have very antagonistic relationships with the inmates and have no desire to change this. They do not see interacting with inmates as their job. These officers should be transferred to other types of positions or may have to find other jobs.

A minority of officers spends at least the required time in the unit and seem to be "naturals" at managing inmate behavior. These officers may be able to help train others.

Process effectiveness: Fifteen minutes of each hour has not been sufficient for the officer to get to know the inmates, adequately supervise them, and address behaviors. We will increase the time to a minimum of 30 minutes each hour, then assess if this is sufficient.

Outcomes (measured one year after full implementation of change)

Inmate-on-inmate assaults – 70% reduction (exceeded goal)

Vandalism – 80% reduction (exceeded goal)

Reports of rule violations – 30% increase (did not meet goal)

Inmate recidivism – no results

Reported rule violations, primarily for minor infractions, increased

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sharply in the first four months after we implemented the change. After that, reports tapered off and decreased by 40% of the pre-change numbers. The early increase resulted from the officers more closely supervising the inmates and being aware of rule violations. The later decrease seems to indicate that inmates are better informed of behavior expectations, know they will be held accountable, and do not want to lose the incentives they are given for positive behavior.

Inmate recidivism – We never adequately defined “recidivism.” Also, we have determined that our change initiative cannot be directly and substantially linked to an inmate’s post-release behavior.

Your change team, or selected members, should remain in place after the initial implementation of the change—at least until you are confident that the change is firmly integrated into your operations. Team members will be key to monitoring the progress and success of the change initiative and to making adjustments.

Remember that it is important to keep your stakeholders, including staff, informed of progress and the benefits you are seeing from the change. This will help ensure you have ongoing support for the change.

STABILIZE THE NEW NORMAL

The original labels for the broad phases of change were referred to as “unfreeze,” “change,” and “refreeze.” We’ve called these phases “prepare,” “implement,” and “sustain.” The terms “unfreeze” and “refreeze,” though are aptly descriptive, since what we want to do is:

- Unfreeze the old ways (prepare for change, establish the conditions for change);
- Change (implement the new ways);
- Refreeze (solidify the new ways).

Ask: How do you stabilize the new normal?

Responses: vary

Ask: What do you do to eliminate the old normal, to reduce the likelihood that it will re-emerge?

Responses:

Something physical – shred, destroy the old policy manual, Remove forms, Have a ceremony of sorts, or a ritual ending, to get rid of the ‘old way, Do something to make it unlikely for folks to revert to the old way

The objective of any change effort is equilibrium at the new desired level. In other words, you want to stabilize the new normal. This is the refreezing process, and it enables you to sustain the change.

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The task is to keep looking for and rooting out vestiges of the old normal and making sure the entire change has moved forward as planned. Generally, leadership wants to watch for:

- People running redundant systems or processes parallel to the new – meaning they have not let go of the old system or process;
- Managers who let people slide on old behavior;
- Support mechanisms that are lagging behind the change and preventing you from fully implementing and realizing the benefits of the change;
- Reversion to old methods when crises arise;
- Outcomes or results that are less or different from what you expected.

Old behaviors die hard. Reinforcement – reward and recognition – is essential to stabilizing the new normal, since what gets rewarded gets done.

Instructional Input: 45 minutes

Individual Exercise and large group discussion

Now that we have worked through the three phases and two levels of change, we will give you an opportunity to assess your skills in leading change. This assessment doesn't cover every aspect we have talked about in this module. The dimensions included are: Modeling the Change; Communicating about the Change; Involving others in the Change; Helping others Break from the Past, Creating a Supportive Learning Environment.

Note to instructor: Give the participants a “Leading Change at Every Level” instrument and instruct them on how to complete it. On page 2, answer each question on the scale from . . . to . . . Not what you're going to do tomorrow, but what you currently do, where you are today.

Explain that this is an opportunity for them to reflect on their strengths and challenges in leading change. Also explain that the instrument's content is a little different from what was presented in class; nonetheless, it will help them identify areas where they can improve.

Give them **15-20 minutes** to complete and score the instrument and read their results. After this, ASK what insights they gained from taking the instrument, and lead a **10 minute** discussion on this. Finally, take **five minutes** to summarize the discussion and tie their insights into concepts taught in the module.

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Ask: What did you learn about yourself?

Responses: will vary

We want to do a wrap-up of this module by showing you a piece from the end of the **movie Miracle**, the playoffs where they determine who will play in the final game.

This scene is at the Olympics. Prior to this moment, there's been lots of preparation, rigorous training and change. Just two weeks prior to this moment, the US faced the USSR at the same location—Madison Square Garden—and the US was trounced 10-3. They were demoralized. The US team went back to figure what they need to do differently.

Here, the US and USSR are competing—but this is not the final round. It's the 3rd period of the game and the teams have just tied. Watch the difference in how the US team works together.

Note to Instructor: Show the second clip from *Miracle on Ice* here (7 minutes “Miracle”), then debrief.

Ask: What were the some of the changes Coach Brooks navigated? How did he overcome obstacles/resistance?

Response:

He empowered the team

He reminded them to “play your game”

Persistence

Additional comments: “play your game” shift from I to we—importance of team; Brooks’ original plan is working; started with a leader with a lofty goal to overcome an impossible obstacle;]

Independent Practice: 15 minutes

Note to instructor: Refer participants to the self-assessment form in their Leadership Development Plan booklet, and tell them they will have **15 minutes** to complete it.

Closure and Evaluation: 10 minutes

Transition to next module

Yesterday and today, we worked on a change initiative that will require

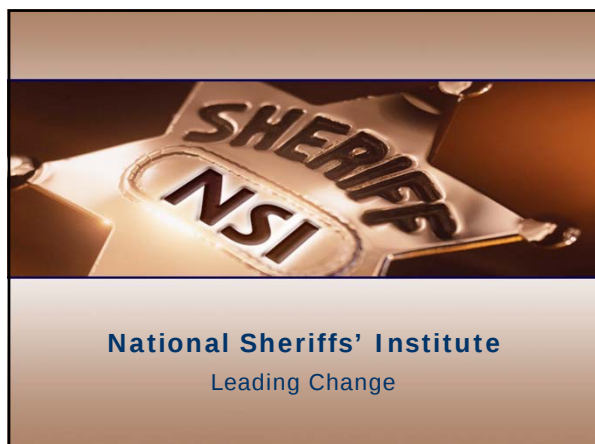
Module 9 – Leading Change

your active leadership at both the project and people levels. This is a change initiative that has to do with your organization or community.

This afternoon you will focus on your own personal change and some steps you need to take to become a more effective leader. This will be a time of introspection. You will be able to reflect on all you have learned during this program, identify the primary areas in which you want to enhance your leadership skills, and develop some strategies to accomplish this.

Module evaluation

Note to instructor: Give participants 5 minutes to complete the evaluation, and then collect the forms.




Performance Objectives

- Differentiate between the leadership responsibilities in the three phases and two levels of change.
- Draft a plan to create a Change Team.
- Create a plan to mobilize support and overcome resistance to the proposed change.
- Draft a change-initiative work plan.
- Explain the steps needed to monitor and adjust during implementation.
- Determine a process to sustain the change after implementation.



Leading Change

- Leader role = most critical
- Ability to effectively lead change = key leadership competency
- Elected on the promise of change




Leading Change

Effective change requires

- Careful planning
- Active leadership
- Deliberate execution




Change in Three Phases



The image shows three silhouetted figures climbing a steep, rocky cliff. The figure at the top is labeled "Sustaining", the middle figure is labeled "Implementing", and the bottom figure is labeled "Preparing".



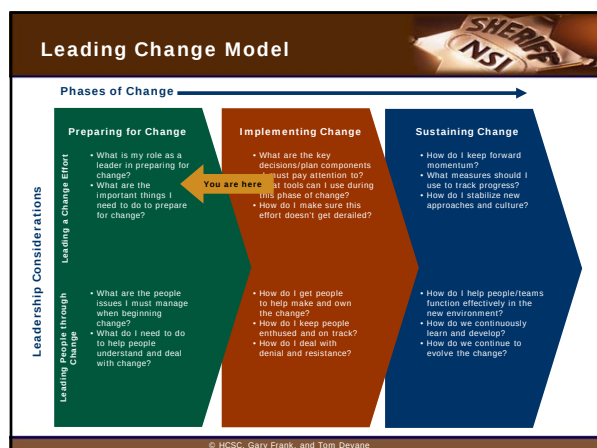
Two levels for each phase

In each phase you will be

Leading the change effort as a **project**

Leading **people** through change





Phase I: Preparing Level 1: Leading the Change Project

Key leadership responsibilities

- Articulate a clear and inspiring leadership direction
- Create a compelling case for change
- Establish a change team
- Assess your current situation



Phase I: Preparing Level 1: Leading the Change Project

Articulate a clear and inspiring leadership direction

Key leadership responsibility



Beckhard's Change Model

$$D \times V \times F > R$$

Phase I: Preparing Level 1: Leading the Change Project

Create a compelling case for change

Key leadership responsibility



Phase I: Preparing Level 1: Leading the Change Project

The Case for Change describes

- Current state to be changed
- Consequences of continuing current state
- The change you want to make
- The benefits of that change
- Who will be affected



Phase I: Preparing
Level 1: Leading the Change Project

Case for Change

Create sense of

URGENCY



Phase I: Preparing
Level 1: Leading the Change Project

Establish a CHANGE TEAM

Key leadership responsibility

Phase I: Preparing
Level 1: Leading the Change Project

Establish a change team to

- Provide oversight
- Advocate for change
- Carry out the work

Phase I: Preparing
Level 1: Leading the Change Project

The Change Team:

- Develops change strategies
- Communicates with stakeholders
- Develops resistance strategies
- Develops the work plan
- Monitors and assesses

Phase I: Preparing
Level 1: Leading the Change Project

The Change Team

- Challenges the status quo
- Provides expertise
- Has relationships with stakeholders
- Has excellent communication skills
- Is good staying organized

Phase I: Preparing
Level 1: Leading the Change Project



Assess current situation

Key leadership responsibility



Phase I: Preparing
Level 1: Leading the Change Project



Assess

- Strengths and challenges
- Support systems
- External environment
- Stakeholder support and opposition



Phase I: Preparing
Level 1: Leading the Change Project



Identify Primary Stakeholders who

- Can provide key political / financial support
- Have essential expertise
- Will implement the change
- Will be affected by the change



Individual Activity



Identify potential **change team** members
For each member, indicate

- name and title
- relevant knowledge, skills, and abilities
- person's role on the team



Individual Activity



Identify **stakeholders** key to change initiative
For each stakeholder, indicate

- role
- whether supportive or resistant to change initiative



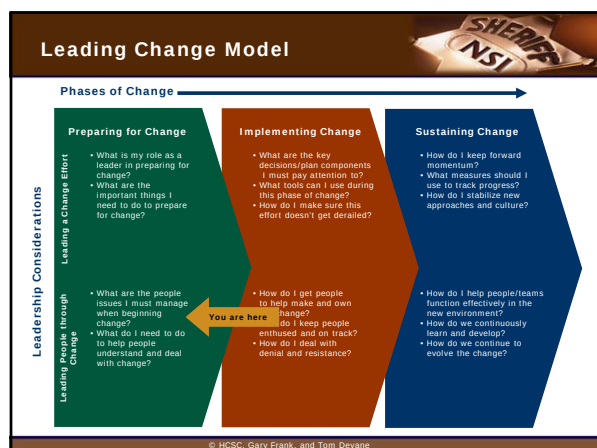
Small Group Exercise



In small groups each person

- summarize your case for change
- describe your change initiative
- list the members of your change team
- summarize your stakeholder assessment
- receive feedback from others in group





Phase I: Preparing Level 2: Leading People Through Change

Key leadership responsibilities

- **Create understanding**
- **Mobilize support**
- **Overcome resistance**

Phase I: Preparing Level 2: Leading People Through Change

Create understanding

- Share your case for change
- Include others
- Be visible and vocal
- Listen and dialog
- Answer "burning questions"

Phase I: Preparing Level 2: Leading People Through Change

Create understanding: address concerns

Leadership

- Are we prepared to do this?
- Is my leadership direction clear?
- Have I developed understanding and a sense of urgency about the change?
- Do I have the support I need?

Phase I: Preparing Level 2: Leading People Through Change

Create understanding: address concerns

Staff

How will this affect

- My work?
- My performance?
- My value?

Phase I: Preparing Level 2: Leading People Through Change

Burning questions from

- **Command Staff**
- **Line Staff**

Phase I: Preparing
Level 2: Leading People Through Change

Mobilize support

Key leadership responsibility



Phase I: Preparing
Level 2: Leading People Through Change

Rogers Innovation Adoption Curve



Segment	Percentage
Innovators	3%
Early Adopters	13%
Early Majority	34%
Late Majority	34%
Laggards	16%

Phase I: Preparing
Level 2: Leading People Through Change

Innovation Adoption Curve

Innovators - get it intuitively
Early adopters – catch on quickly
Early/late majorities – “wait and see” middle
Laggards – wedded to status quo



Focusing on the “wait and see” middle will give the leader the biggest payoff.

Phase I: Preparing
Level 2: Leading People Through Change

Overcome resistance

Key leadership responsibility



Phase I: Preparing
Level 2: Leading People Through Change

People resist change because they fear loss of:

- Attachments
- Turf
- Structure
- Future
- Meaning
- Control



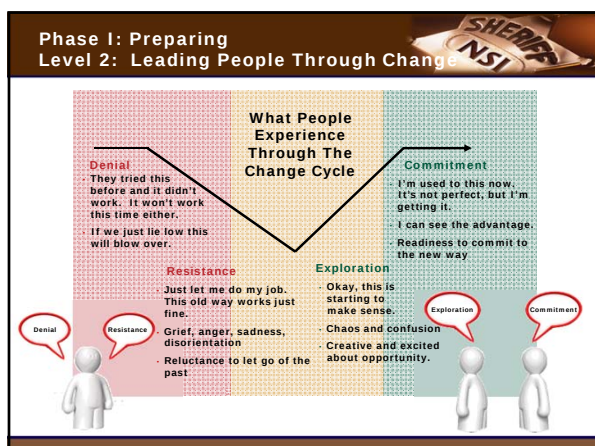
William Bridges, *Surviving Corporate Transition*

Phase I: Preparing
Level 2: Leading People Through Change

Additional causes of resistance

- Fear of the unknown
- Fear of failure
- Disagreement on the need for change
- Misunderstanding, lack of trust





Phase I: Preparing
Level 2: Leading People Through Change

To lessen / overcome resistance

- Communicate frequently, regularly
- Provide complete information
- Avoid anger, defensiveness
- Explore and address reasons for resistance

Phase I: Preparing
Level 2: Leading People Through Change

To lessen / overcome resistance

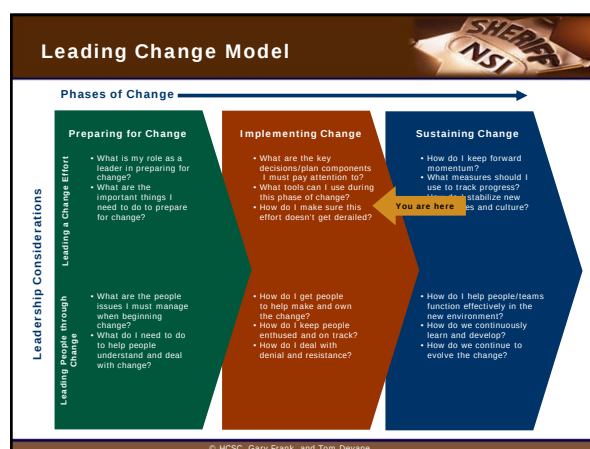
- Address rumors immediately with accurate information
- Involve others
- Use power and influence effectively
- Lead gently, but firmly, forward

Individual and Pair Exercise

Identify three "burning questions" related to your change initiative. For each, identify the potential source(s) and write a brief response.

For each resistant stakeholder on your chart, determine the reason for resistance and describe one strategy for addressing it.

Share with a partner from your group.



Phase II: Implementing Change
Level 1: Leading the Change Project



Key leadership responsibilities

- **Develop and implement work plan**
- **Address obstacles**



Phase II: Implementing Change
Level 1: Leading the Change Project



Develop and implement a work plan

Key leadership responsibility



Phase II: Implementing Change
Level 1: Leading the Change Project



A work plan reassures those who will be affected

- They can see a concrete plan
- The plan helps them see progress



Phase II: Implementing Change
Level 1: Leading the Change Project



Steps in developing a work plan:

- Define the change initiative
- Describe major stages of action needed
- List, in sequence, tasks for each stage



Phase II: Implementing Change
Level 1: Leading the Change Project



For each task in work plan, include:

- Start and end date
- Names of persons responsible for completion
- Resources needed
- Space to note task status



Phase II: Implementing Change
Level 1: Leading the Change Project



Consider support congruency in:

- Training
- Job descriptions
- Hiring criteria
- Policies and procedures
- Performance appraisals
- Organizational structure



Change Initiative Work Plan Draft

Stage	Task	Begin Date	End Date	Person Assigned	Resources Needed	Status of Task
1	A.					
	B.					
	C.					
	D.					
2	A.					
	B.					
	C.					
	D.					

Phase II: Implementing Change Level 1: Leading the Change Project

Address obstacles

- Resistance to change
- Limited time, budget, other resources
- Organizational inertia and politics

Key leadership responsibility



Individual and Pair Exercise

On the form provided:

- Write your change initiative
- Identify the major stages of the work plan
- List at least 2 tasks under each stage
- Share the stages of your work plan with and get feedback from a partner in your breakout group



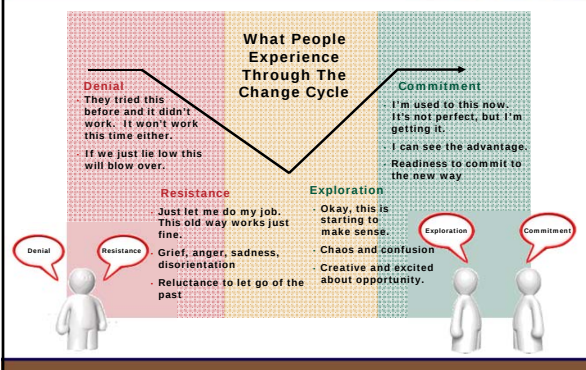
Leading Change Model

Phases of Change



© HCSC, Cary Frank, and Tom Devane

Response to Change



Phase II: Implementing Change Level 2: Leading People Through Change

Key leadership responsibilities

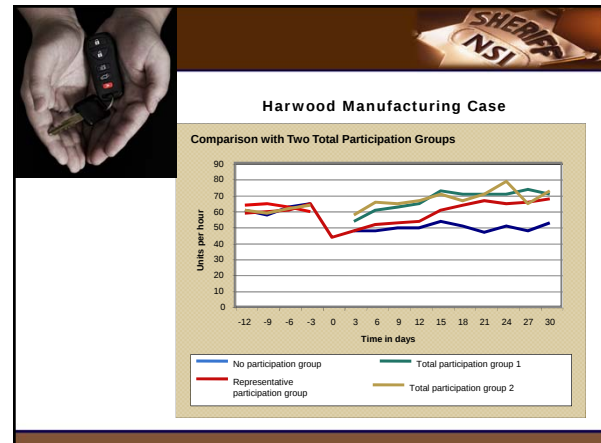
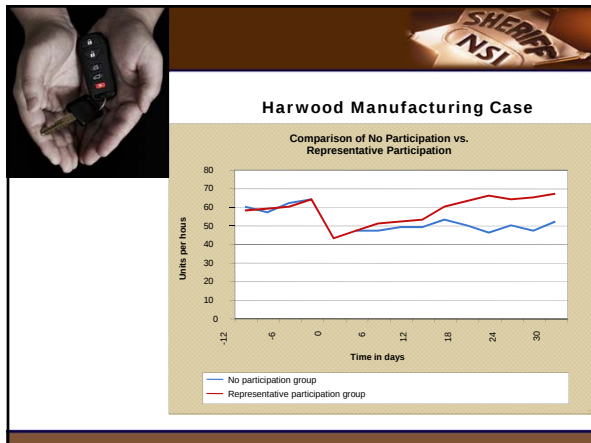
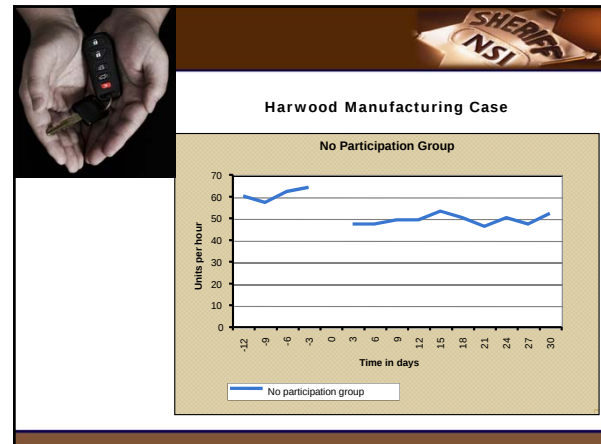
- Help people co-create and own the change
- Help people stay enthused and on track

Phase II: Implementing Change
Level 2: Leading People Through Change

Help people co-create and own the change

Participation is essential

Key leadership responsibility



Phase II: Implementing Change
Level 2: Leading People Through Change

Help people stay enthused and on track

- Maintain visible leadership
- Reduce obstacles
- Highlight short-term wins
- Recognize and reward
- Share progress

Key leadership responsibility

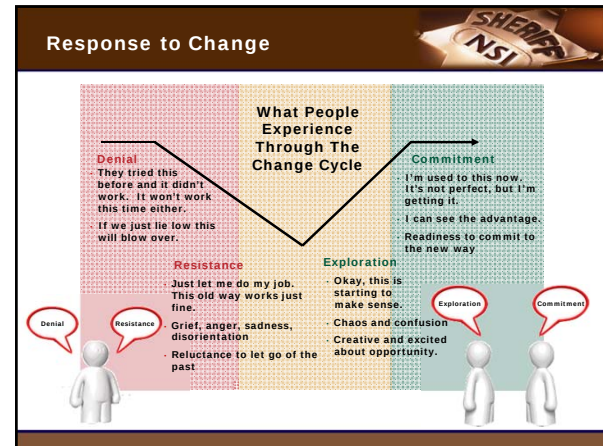
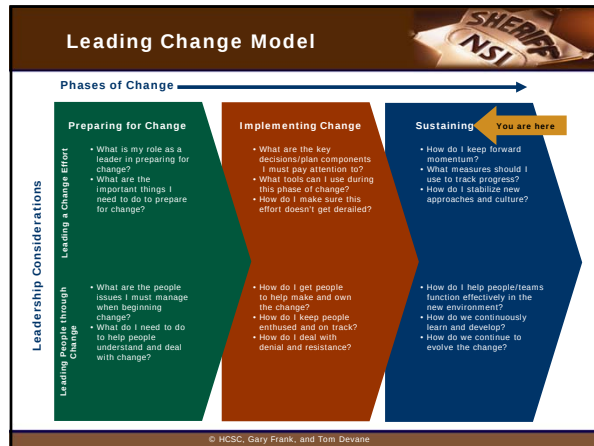


Individual and Pair Exercise

Individually

- Identify one way to meaningfully engage each stakeholder you listed on the stakeholder chart.
- Share your strategy with a partner in your group.





Phase III: Sustaining Change

- The change is happening
- People are using new methods and systems
- You are seeing intended results

Your major objectives:

- Maintain forward progress
- Anchor the change in meaningful ways
- Avoid regression

Phase III: Sustaining Change

Key leadership responsibilities

- Model the way**
- Continue to build capability**
- Continue to monitor progress and ensure success of the change**
- Stabilize the new normal**

Phase III: Sustaining Change

Eliminate vestiges of the "old normal"

- Redundant processes or systems
- Managers letting staff "slide"
- Support mechanisms lagging behind
- Reversion to old methods
- Different-than-expected outcomes

Phase III: Sustaining Change

Old behaviors die hard.

Reinforcement—reward and recognition—are essential to stabilizing the new normal

What gets rewarded gets done!

Leading Change at Every Level

The Instrument:

- Complete
- Score
- Review



Self-Assessment Exercise

Complete self-assessment



Evaluation and Transition

Leading Change

Performance Objectives

- Differentiate between the leadership responsibilities in each phase and level.
- Draft a plan to create a Change Team.
- Determine sources of support and resistance among stakeholders.
- Create a plan to mobilize support and overcome resistance to the proposed change.
- Draft a change-initiative work plan.
- Explain the steps needed to monitor and adjust during implementation.
- Determine a process to sustain the change after implementation.

The Sheriff as a Change Leader

Your role as the leader is the most critical role in any change effort.

Creating change is an act of leadership.

The change you want to make is expressed in your leadership-direction statement.

Your ability to effectively lead change will, in large measure, define the success of your term in office.

Effective change does not happen by accident. It requires careful planning, active leadership, and deliberate execution.

Change Phases and Levels

Three Phases

Phase I: Preparing

Phase II: Implementing

Phase III: Sustaining

Each Phase has two levels

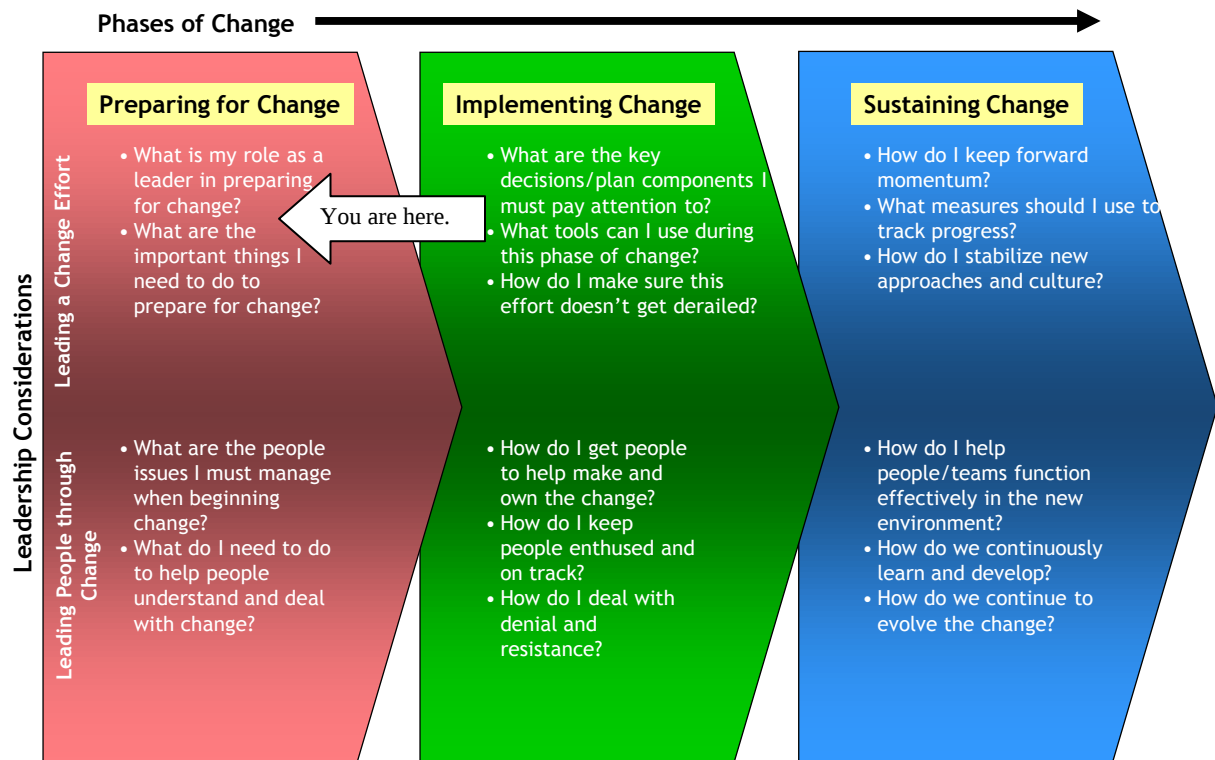
Level 1: Leading the change effort as a **project**

Level 2: Leading **people** through the change

The two levels are inter-related, and your leadership at both levels—across all phases—is essential.

Phase I: Preparing Level 1: Leading the Change Effort as a Project

Leading Change Model



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Key Leadership Responsibilities

Phase I: Preparing, Level 1: Leading the Project

Articulate a clear and inspiring leadership direction

- A clear leadership direction is the foundation of the change effort.
- Change without a clear leadership direction is nothing more than an empty promise.

Create a compelling case for change

The case for change is based on your leadership direction and describes:

- The current state of affairs that you want to change.
- The consequences of continuing with the current state of affairs.
- The change you want to make.
- The benefits of that change and who will be affected by them.

The case for change must create a sense of urgency.

Key Leadership Responsibilities**Phase I: Preparing, Level 1: Leading the Project****Establish a change team**

While you are the leader of the change initiative, you will need a change team to support you. The change team should:

- Be formally established.
- Have a team coordinator.
- Have well defined roles for all members.

You will also need to establish a communication system among team members and between team members and yourself.

The size and make-up of the change team will depend on the nature and complexity of the change initiative.

Primary change team responsibilities

- Develop strategies to prepare for, implement, and sustain the change.
- Communicate the need for and benefits of the change to stakeholders.
- Develop strategies to overcome resistance to the change.
- Develop and execute the work plan for the change initiative.
- Monitor and communicate progress of the work plan to stakeholders.
- Assess the effectiveness of new processes and measure the results of the change.

Key Leadership Responsibilities

Phase I: Preparing, Level 1: Leading the Project

Change team members – knowledge, skills, and abilities

Collectively, change team members should:

- Be open to challenging the status quo.
- Have subject-matter expertise related to the change initiative.
- Know stakeholder interests.
- Be able to establish rapport with key stakeholders.
- Have communication skills.
- Have presentation skills.
- Be politically astute.
- Be able to see the change from a “big picture” perspective (short- and long-term implications of change, who is affected by the change, what support systems must be aligned with the change).
- Be organized and able to attend to details.

Key Leadership Responsibilities

Phase I: Preparing, Level 1: Leading the Project

Assess your current situation.

- Strengths and challenges inside your organization as they relate to the change.
- The support systems that need to be modified to ensure the functionality and sustainability of the change.
- Conditions and trends in your external environment as they relate to the change.
- Sources of support and opposition among stakeholders.

Identify primary stakeholders

- ✓ Persons whose political and financial support are key to the initiative.
- ✓ Persons whose expertise is key to the initiative.
- ✓ Persons who will implement the initiative.
- ✓ Persons who may not be central to the initiative, but who will be affected by it.

For each stakeholder

- ✓ Identify their role(s).
- ✓ Determine the stakeholder's current or potential level of support or resistance.

Practice Activity

Phase I: Preparing, Level 1: Leading the Project

Individually

Identify the potential members of your change team.

On the form in your participant manual, provide the following for each:

- name and title
- relevant knowledge, skills, and abilities they bring to the team
- description of each person's role on the team (i.e. team leader, person to implement change, devil's advocate, etc.)

Identify the stakeholders who are key to your change initiative.

On the form in your participant manual, provide the following for each:

- role description
- whether the stakeholder is supportive or resistant

Use the following to indicate stakeholder role(s):

P – Political support

F – Financial support

E – Expertise

I – Implement

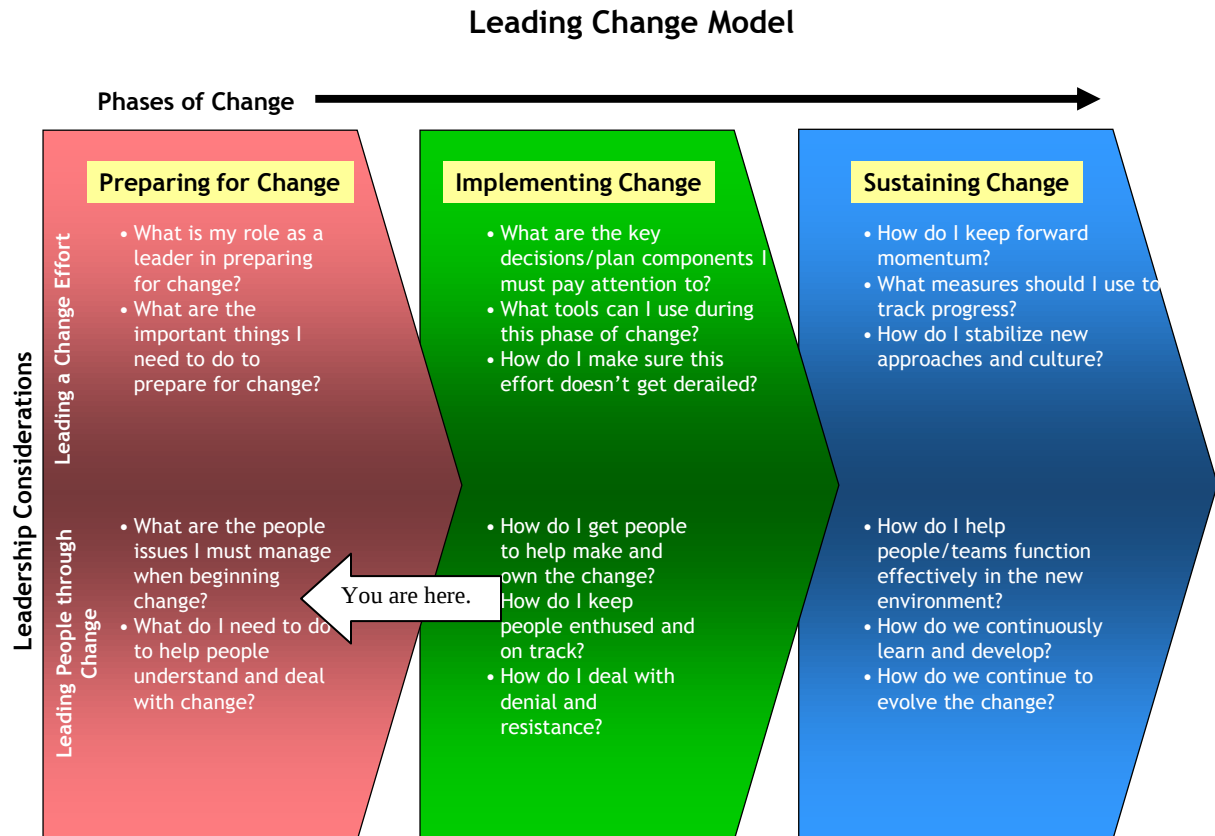
A – Not central to implementation, but will be affected by the change

In your small group

Each individual

- summarize your case for change
- identify your change initiative
- list the members of your change team
- summarize your stakeholder assessment
- receive feedback from group members

Phase I: Preparing Level 2: Leading People Through Change



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Key Leadership Responsibilities

Phase I: Preparing, Level 2: Leading People

Create understanding

- Share your case for change.
- Include others in the change effort.
- Be visible and vocal.
- Listen to and dialog with people.
- Anticipate and answer “burning questions” and address concerns.

Leader Concerns

- ✓ Are we prepared to do this? Do we have the time, resources, and budget to pull it off?
- ✓ Is my leadership direction clear? Have I painted a clear, compelling, attractive image of the future I hope to create?
- ✓ Have I developed understanding, alignment, and urgency about the change?
- ✓ Do I have the support I need? Can I get it? What's it going to take?

Key Leadership Responsibilities

Phase 1: Preparing, Level 2: Leading People

Command Staff Concerns

- ✓ What will this mean for my division and the resources I command?
- ✓ I've worked hard to get this in the shape it's in. Does anyone care about that?
- ✓ Will I still be needed in the same way I am now?

Staff Concerns

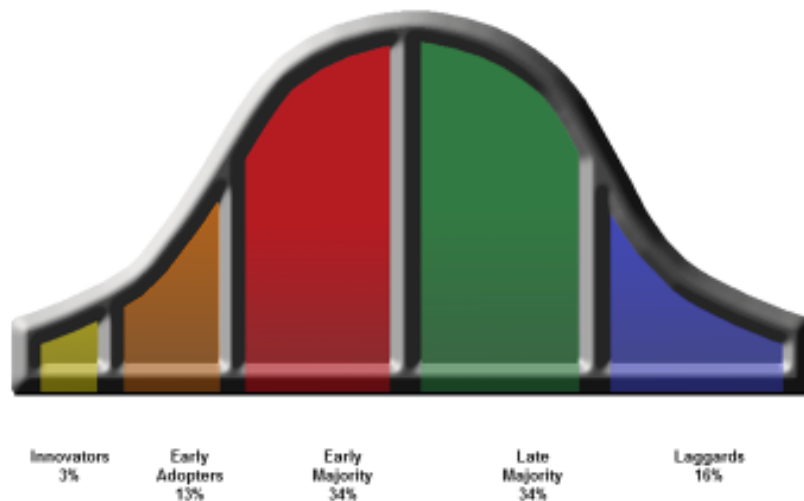
- ✓ I thought things were just fine. What do you mean we have to make significant changes?
- ✓ What will this mean for my job?
- ✓ Am I personally at risk?
- ✓ What's in this for me?

Key Leadership Responsibilities

Phase I: Preparing, Level 2: Leading People

Mobilize support

Rogers Innovation Adoption Curve



- Focus on the “wait and see” middle groups (early and late majorities) for support.
- Enlist the innovators and the early adopters to help mobilize the middle.

Key Leadership Responsibilities

Phase I: Preparing, Level 2: Leading People

Overcome resistance

People resist change because they fear loss of:

- Attachments
- Turf
- Structure
- Future
- Meaning
- Control

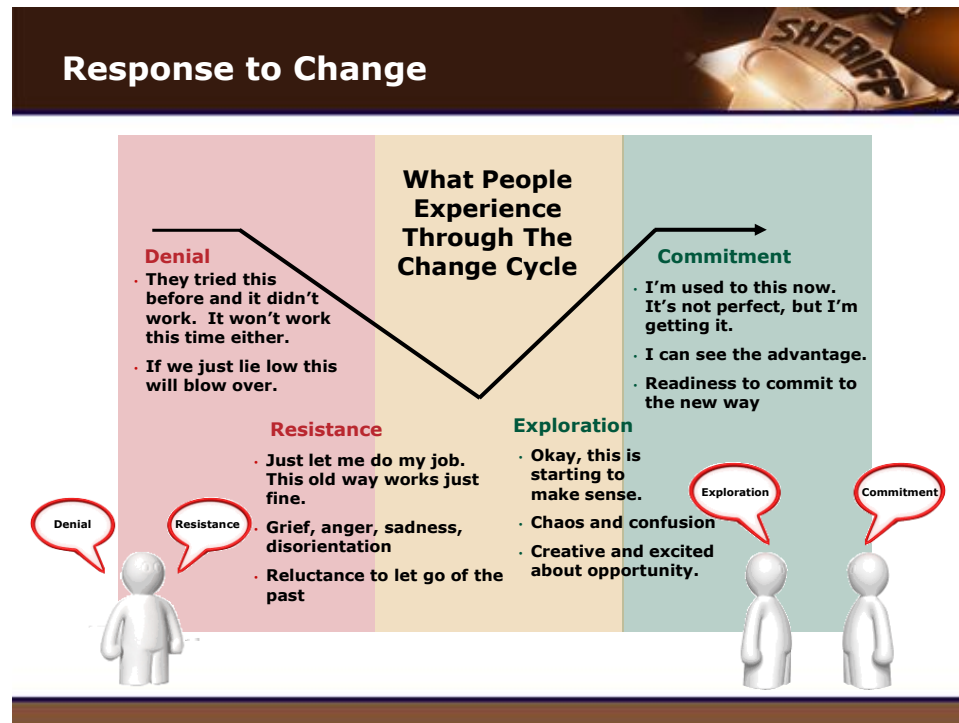
William Bridges, *Surviving Corporate Transition*

People also resist change because they

- Fear the unknown
 - Fear failure
 - Disagree on the need for change
 - Misunderstand and lack trust
-

Key Leadership Responsibilities

Phase I: Preparing, Level 2: Leading People



Overt resistance – You can see and hear it.

Covert resistance – Not obvious and more dangerous

Key Leadership Responsibilities

Phase I: Preparing, Level 2: Leading People

Strategies for overcoming resistance

- Communicate and provide clear, complete information regularly and frequently.
- Do not be angry or defensive in response to resistance. Explore the reasons for resistance and address them.
- Address rumors.
- Involve people in the change. People have a strong need to influence their future.
- Use your power and influence effectively.
- Lead gently, but firmly, forward.

Practice Activity

Phase I: Preparing, Level 2: Leading People

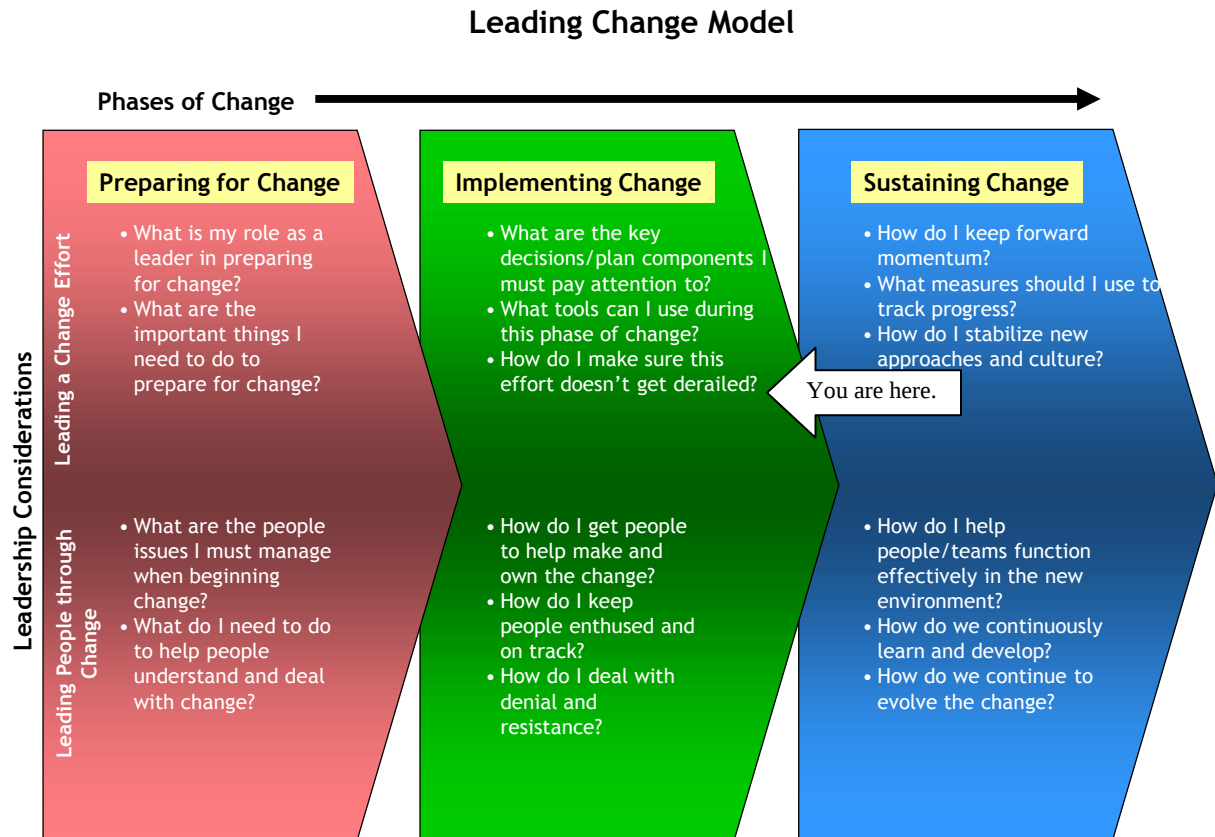
Individually

Identify three “burning questions” related to your change initiative. For each, identify the potential source(s) and write a brief response. Use the form in your participant manual.

Review your stakeholder chart. For each resistant stakeholder you listed, identify the reason for resistance and describe one strategy for overcoming it.

Share your work with a partner from your breakout group.

Phase II: Implementing Level 1: Leading the Change Effort as a Project



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Key Leadership Responsibilities

Phase II: Implementing, Level 1: Leading the Project

Develop and implement a work plan

People facing change can be reassured by:

- Knowing there is a concrete plan for moving forward.
- The ability to see for themselves how the plan is coming along.

A well-developed work plan will help you:

- Break things down into manageable component activities.
- Orchestrate multiple streams of activities simultaneously.
- Track the progress of each step in the plan.

Your change team should have primary responsibility for developing the work plan.

Key Leadership Responsibilities

Phase II: Implementing, Level 1: Leading the Project

Steps in developing the work plan

- **Define the change initiative.** This should clearly, concretely, and concisely describe the change you intend to make.

Example

Challenge - The sheriff has inherited a jail with a physical plant and operations that are below standard. The jail poses significant and immediate safety risks to inmates, staff, and visitors.

Change initiative – The jail facility will be, at a minimum, safe and secure.

- **Define the major stages of action** that need to be taken to accomplish the change initiative.

Example

(This is not intended to be a complete list of stages)

--Initiate a partnership with county commissioners to address jail issues.

--Identify and document jail issues.

--Set priorities for addressing issues, based on level of threat to safety and security.

--Identify resources needed to resolve highest priority issues and sources of funding and assistance.

- List the tasks that need to be completed to achieve each major stage.

The task list should be sequential and include:

- ✓ A start and end date for each task.
- ✓ Names of person(s) responsible for completing each task.
- ✓ Resources (staff, funding, equipment, supplies, other) needed for completion of each task.
- ✓ Space to note the status of the task (example: "C" = complete, "IP" = in process, "NB" = not begun).

Support systems, such as the following, should be considered when developing the work plan for a change initiative.

- Training
- Job descriptions
- Hiring criteria and practices
- Policies and procedures
- Performance appraisals
- Organizational or staffing structure

Key Leadership Responsibilities

Phase II: Implementing, Level 1: Leading the Project

Address key obstacles to change

- Resistance to change
- Limited time, budget, and other resources
- Organizational and system inertia and politics

Practice Activity

Phase II: Implementing, Level 1: Leading the Project

NOTE: Your draft change-initiative work plan is based on your case for change and all other work completed thus far in this module.

Individually

Begin a draft of your change-initiative work plan to include

- Your change initiative
- The major stages of the work plan
- At least two tasks under each stage

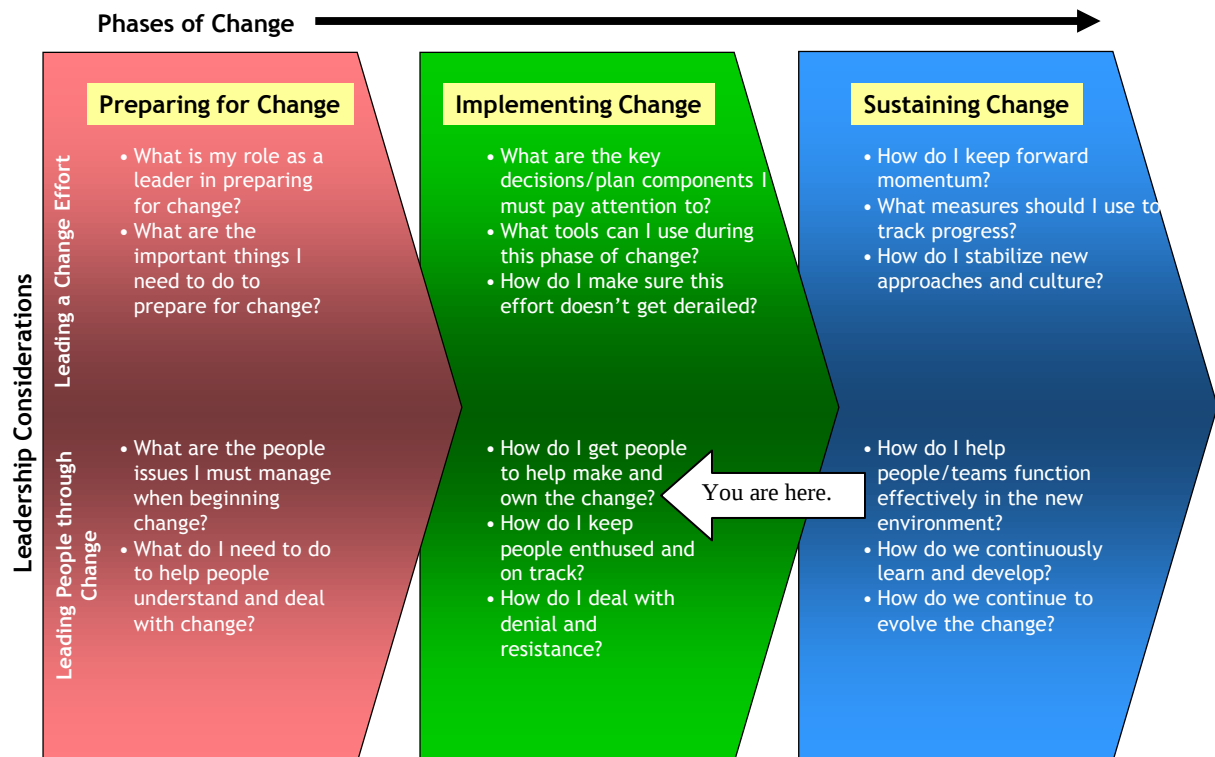
Use the form in your participant manual.

In your small group

Share the stages of your work plan with and get feedback from a partner in your breakout group.

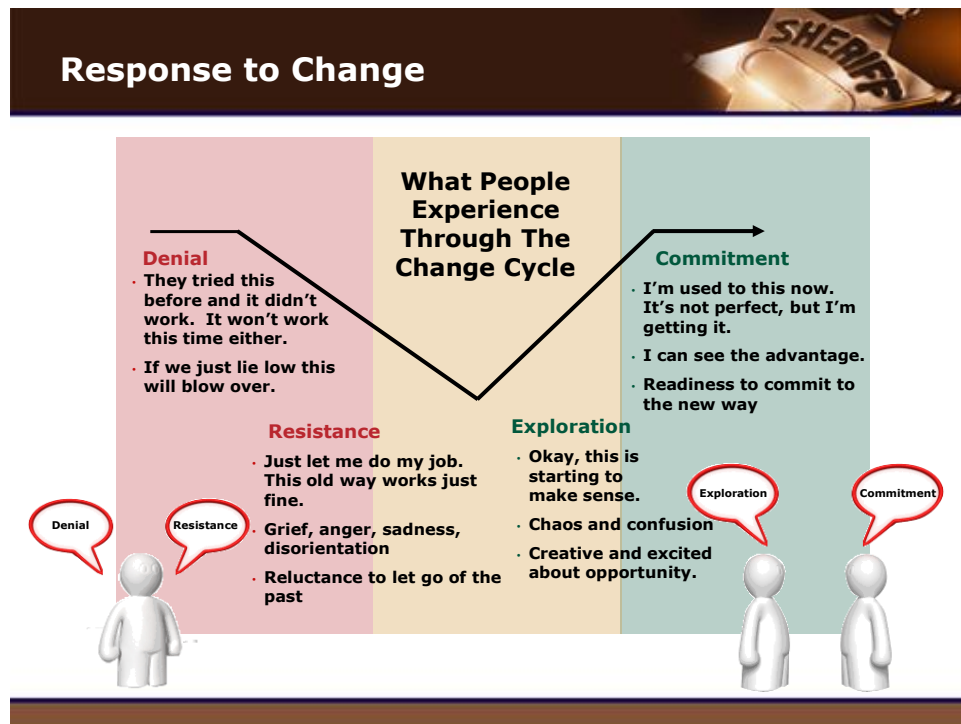
Phase II: Implementing Level 2: Leading People Through Change

Leading Change Model



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Phase II: Implementing Level 2: Leading People Through Change



Key Leadership Responsibilities

Phase II: Implementing, Level 2: Leading People

Help people co-create and own the change

Change imposed is change opposed.

Engaging others and encouraging meaningful participation in the change-initiative work plan is important because

- It helps people understand the change and the process of making the change.
- It helps people co-create and shape the change along with you.
- It helps build people's business literacy.
- When people are able to influence their own future, their sense of contribution and belonging are strengthened.

Example: The Harwood Manufacturing Case – Three Groups

- No Participation
- Participation vs. Representative Participation
- Total Participation

Key Leadership Responsibilities
Phase II: Implementing, Level 2: Leading People

Help people stay enthused and on track

- Maintain visible leadership.
- Eliminate obstacles that create psychological blocks.
- Highlight short-term wins.
 - ✓ Visible
 - ✓ Unambiguous
 - ✓ Clearly related to the larger change initiative
- Provide recognition and reward.
- Openly share progress measures.

Practice Activity

Phase II: Implementing, Level 2: Leading People

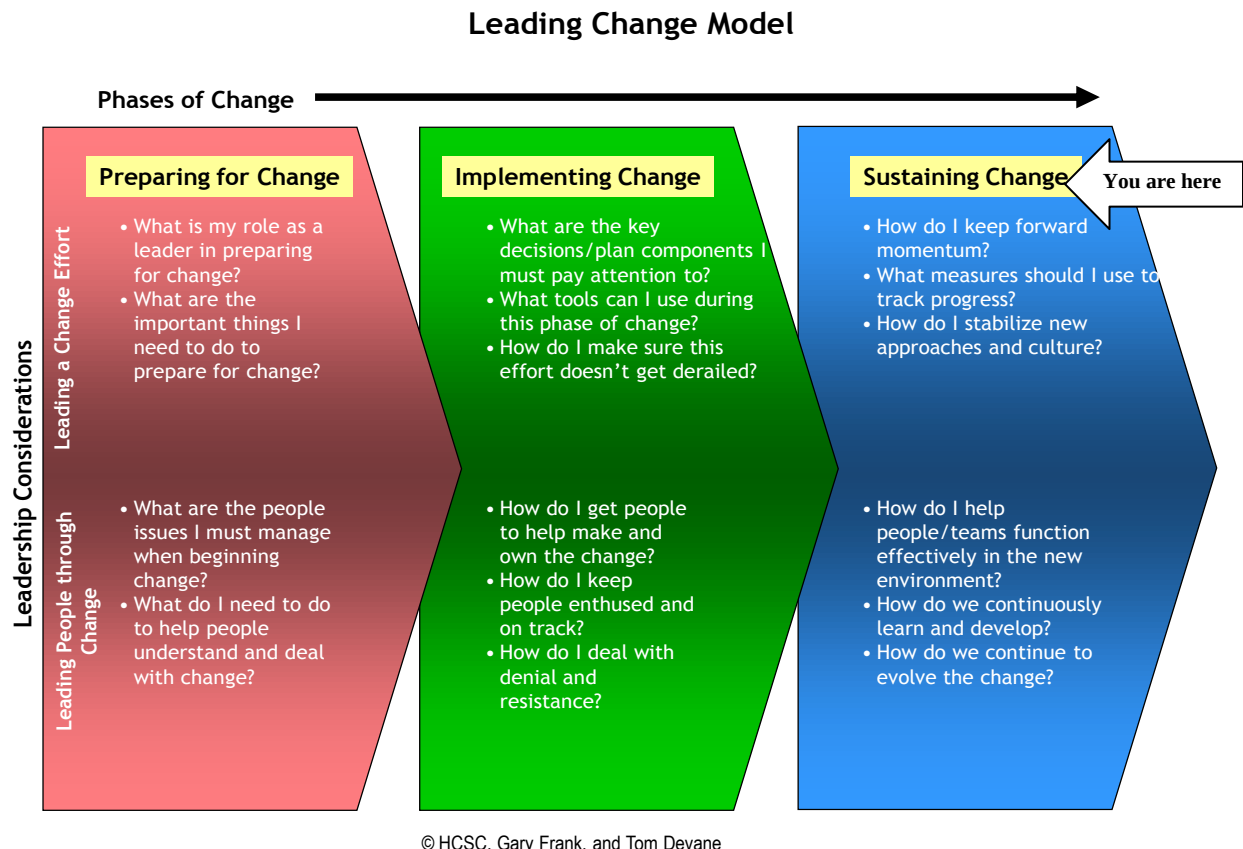
Individually

Identify one way to meaningfully engage each stakeholder you listed on the stakeholder chart.

In your small group

Meet with a partner from your breakout group to share your strategy.

Phase III: Sustaining Change



Sustaining change, although shown as a separate phase, begins in the earlier phases with

- Gaining support and involvement of key stakeholders.
- Aligning support systems with the change initiative to ensure the functionality, and therefore the sustainability of the change

In the sustaining phase

- The change is happening
- People are using new methods and systems
- You are seeing intended results

Objectives:

- Maintain forward progress
- Anchor the change in meaningful ways
- Avoid regression

Key Leadership Responsibilities

Phase III: Sustaining

Model the way

Continue to build capability

Continue to monitor progress and ensure success of the change

- Process implementation
 - Are people implementing the processes related to the change correctly?
 - Are all support systems and processes functioning in alignment with the change?
- Process effectiveness
 - Are the new processes effective when they are implemented correctly?
- Outcome achievement
 - Are you getting the benefits you expected to get from implementing the change?

Your change team, or selected members, should remain in place after initial implementation of the change—at least until you are confident that the change is firmly integrated into your operations. They will be key to monitoring progress and making needed adjustments.

Example

Phase III: Sustaining

Monitoring process implementation, process effectiveness, and outcome achievement

Goal: Help ensure safety and security in the jail by significantly reducing negative inmate behavior

Measures: Within one year after full implementation of the change, there will be 60% fewer inmate-on-inmate assaults, 50% fewer incidents of vandalism within the housing units, 50% fewer reports of rule violations generally, and 30% reduction in inmate recidivism. (Baseline numbers were identified shortly before implementation of the change).

Information sources: Inmate disciplinary reports, interviews with officers, interviews with inmates, reports of criminal charges filed against inmates for in-jail incidents, reports of inmate injuries.

Change initiative: Require detention officers, who now have almost no direct contact with inmates, to spend 15 minutes of each hour inside the inmate dayrooms to actively supervise inmates, initiate positive interaction with them, and manage their behavior.

Process implementation:

Some officers are spending the required time in the units, but are interacting with inmates only minimally. These officers are willing to go in the unit but don't really understand what to do once they are inside the dayroom. They feel awkward there. We have not adequately trained staff on the specifics of what they should do. We need to develop and provide the training.

Some officers spend no time in the unit. Some of these officers are fearful of going in the unit, but, with adequate training, might gain the confidence to do this. Several have very antagonistic relationships with the inmates and have no desire to change this. They do not see interacting with inmates as their job. These officers should be transferred to other types of positions or may have to find other jobs.

A minority of officers spend at least the required time in the unit and seem to be "naturals" at managing inmate behavior. These officers may be able to help train others.

Process effectiveness: Fifteen minutes of each hour has not been sufficient for the officer to get to know the inmates, adequately supervise them, and address

behaviors. We will increase the time to a minimum of 30 minutes each hour, then assess if this is sufficient.

Outcomes (measured one year after full implementation of change)

Inmate-on-inmate assaults – 70% reduction (exceeded goal)

Vandalism – 80% reduction (exceeded goal)

Reports of rule violations – 30% increase (did not meet goal)

Inmate recidivism – no results

Reported rule violations, primarily for minor infractions, increased sharply in the first four months after we implemented the change. After that, reports tapered off and decreased by 40% of the pre-change numbers. The early increase resulted from the officers more closely supervising the inmates and being aware of rule violations. The later decrease seems to indicate that inmates are better informed of behavior expectations, know they will be held accountable, and do not want to lose the incentives they are given for positive behavior.

Inmate recidivism – We never adequately defined “recidivism.” Also, we have determined that our change initiative cannot be directly and substantially linked to an inmate’s post-release behavior.

Key Leadership Responsibilities

Phase III: Sustaining

Stabilize the new normal

Identify and eliminate vestiges of the “old normal.”

- People running redundant systems or processes parallel to the new.
- Managers who let people “slide” on old behavior.
- Support mechanisms that are lagging behind the change and preventing you from fully implementing and realizing the benefits of the change.
- Reversion to old methods when crises arise.
- Outcomes or results that are less or different from what you expected.

Old behaviors die hard. Reinforcement – reward and recognition – is essential to stabilizing the new normal. What gets rewarded gets done!

Leading Change at Every Level Self-Assessment Instrument

You will complete and score an instrument to help you:

- Identify the skills you use most frequently when leading change.
- Identify skills you may want to develop so you will be better prepared to lead change.

Self-Assessment

Complete the Self-Assessment in your Leadership Development Plan for this Module

Case for Change

The following exercise will give you the basis for your case for change. Your case for change must be fully developed in conjunction with your executive team when you return home. Also note that the final case for change must be written so it is clear, convincing, and conveys a sense of urgency to its intended audience(s).

Review your draft leadership direction statement. (You based this on the differences you want to make, as described in your pre-program assignment).

***Example:** In support of a well-integrated community approach to improving public safety and quality of life, the Brown County Sheriff's Office will partner with other law enforcement and human service agencies to identify mutual goals and implement shared strategies to achieve those goals. The services of each division of the Office will conform to professional standards and will be delivered with competence and a clear commitment to public service. Finally, there will be strong team work and mutual respect among the divisions of the Sheriff's Office in the pursuit of enhanced public safety and quality of life.*

Review your pre-program assignment, specifically the section on the challenges to the differences you want to make. Choose one critical challenge. Describe the current state of affairs as it pertains to that challenge.

***Example:** The jail's physical plant and operations are below standard, and the jail poses significant and immediate safety risks to inmates, staff, and visitors. Staff turnover is high, and there are a lot of vacancies. There is also a lot of absenteeism. There are several worker's compensation claims resulting from staff injuries on the job. There is a pending lawsuit against the sheriff's office due to an inmate death in the jail. The inmates seem to run the jail, and staff seem to be afraid of them. The building itself has been severely neglected and presents a lot of safety hazards and potential security breaches.*

Describe the consequences of allowing the current state of affairs to continue.

Example

The safety of staff, inmates, and visitors to the jail will remain in significant jeopardy.

There are likely to be serious financial consequences for our county, as we will probably lose the pending lawsuit, and jail conditions invite more inmate lawsuits that we could not defend against.

Overtime costs due to high turnover, vacancies, and absenteeism will remain high and continue to be a drain on county resources.

Staff injuries in the jail are costly to the county in terms of medical care, worker's compensation claims, and potential lawsuits.

Jail security is easily breached, and this may result in inmate escapes. These escapes potentially threaten public safety.

Describe the change you want to make regarding this challenge.

Example: *The jail facility will be, at a minimum, safe and secure.*

Describe the benefits of that change and who will be affected by those benefits.

Example

County government and taxpayers

If the work environment is safe and secure, staff turnover, vacancies, and absenteeism will be reduced, along with associated overtime costs.

If the work environment is safe and secure, there will be fewer worker's compensation claims..

If the facility is maintained to meet all safety requirements, the lifetime of the facility will be increased, eliminating the need for a premature and costly replacement of the building.

With improved safety and security, the potential for successful and costly lawsuits against the county will be significantly decreased.

With improved safety and security, the possibility of escapes from the jail will be significantly reduced.

Jail staff

Staff will have a safe and secure working environment.

With improved safety and security, staff morale will improve.

Inmates

Inmates will have a safe and secure living environment.

Inmates' families will be assured that their loved ones are safe in the custody of the sheriff's office.

Visitors

Visitors to the jail will find a safe and secure environment.

If the jail is safe and secure, community members will be more likely to volunteer to conduct programs for inmates. This will benefit the volunteers, the jail staff, and the inmates.

Case for Change

*The following exercise will give you the basis for your case for change. Your case for change must be fully developed in conjunction with your executive team when you return home. Also note that the final case for change must be written so it is clear, convincing, and conveys a sense of urgency. [Note: **Focus on an upcoming change, NOT one you have already accomplished.**]*

Review your draft leadership direction statement. (You based this on the differences you want to make, as described in your pre-program assignment).

Review your pre-program assignment, specifically the section on the challenges to achieving the differences you want to make. Choose one critical challenge. Describe the current state of affairs as it pertains to that challenge.

Describe the consequences of allowing the current state of affairs to continue.

Describe the change you want to make regarding this challenge.

Describe the benefits of that change and who will be affected by those benefits.

When you have completed this exercise, present it to your small group instructor for review. Instructors are also available to help you as you work on this.

Potential Change-Team Members

[illegible]

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Change Initiative: Key Stakeholders Chart

This chart will be used in **three exercises** at three different points during the “Leading Change” module.

Exercise #1

List four key stakeholders. Note that a key stakeholder is a *group or individual critical to the success of the change initiative*. Identify the role(s) of each key stakeholder and note whether the stakeholder would be supportive of or resistant to the change.

Stakeholder roles:

- P** **Political** support is key to the initiative’s success
- F** **Financial** support is key to the initiative’s success
- E** **Expertise** is key to the initiative’s success
- I** Will **implement** the initiative
- A** Not central to implementation, but will be **affected** by the initiative

Exercise #2

Review the stakeholder chart. For each **resistant** stakeholder, identify the reason for the resistance and one strategy for overcoming it.

Exercise # 3

For each stakeholder you have listed on the chart, identify one way each stakeholder you have listed on the chart can be meaningfully engaged in the change initiative.

Change Initiative: Key Stakeholders

Stakeholder	Role(s):	Supportive or resistant?
	Strategy to overcome resistance	Strategy to meaningfully engage
Stakeholder	Role(s):	Supportive or resistant?
	Strategy to overcome resistance	Strategy to meaningfully engage

Change Initiative: Key Stakeholders

Stakeholder	Role(s):	Supportive or resistant?
	Strategy to overcome resistance	Strategy to meaningfully engage
Stakeholder	Role(s):	Supportive or resistant?
	Strategy to overcome resistance	Strategy to meaningfully engage

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Anticipating and Answering Burning Questions

Consider your case for change and the related change initiative that you want to pursue. **Identify three “burning questions”** you anticipate, and list these below. For each question:

- identify the potential sources
- briefly list how you might respond

Question 1:

Source(s):

Possible Response(s):

Question 2:

Source(s):

Possible Response(s):

Question 3:

Source(s):

Possible Response(s):

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Change Initiative Work Plan EXAMPLE

Change Initiative: *The Brown County jail will be, at a minimum, safe and secure.*

Stage	Task	Begin Date	End Date	Person Assigned	Resources Needed	Status of Task
1						
Initiate a partnership with County Commissioners to address jail issues	A. Order NIC's DVD titled "Beyond the Myths: The Jail in Your Community," and the documents <i>Jail Resource Issues: What Every Funding Authority Needs to Know</i> , <i>Sheriff's Guide to Effective Jail Operations</i> , and <i>Resource Guide for Jail Administrators</i> .	May 3, 2015	May 3, 2015	John Brown (Change Team member)	None	NB
	B. Prepare briefing for sheriff and executive team on NIC materials.	May 10, 2015	May 19, 2015	Lucy Jones (Change Team coordinator)	Time (up to 24 hours)	NB
	C. Conduct briefing and provide options to sheriff and executive team for meeting with commissioners.	May 20, 2015	May 20, 2015	Lucy Jones (Change Team coordinator)	Time (2 hours)	NB
	D. Determine approach to meeting with commissioners and set up meeting.	May 20, 2015	May 22, 2015	Sheriff	None	NB
2						
Identify and document jail issues.	A. Order jail standards from American Correctional Association.	May 3, 2015	May 3, 2015	John Brown (Change Team member)	\$100 for 5 standards books	NB
	B. Create staff team to review all standards and determine the jail's level of compliance with each.	May 3, 2015	May 10, 2015	Lucy Jones, John Brown, and Mike Black (Change Team) develop recommendations for exec. team's review, decision	Time (8 hours)	NB
	C. Document the jail's level of compliance with ACA standards.	May 12, 2015	May 26, 2015	Staff team, as approved by executive team	Time (up to 80 hours collectively for staff team)	NB
	D. Request jail review from NIC (conducted by June 30, if possible).	May 3, 2015	May 3, 2015	Sheriff	None	NB

	E. Collect and review reports of the last three jail inspections conducted by the health and fire departments. Write summary of both chronic and most recent problem, with current status. Submit report to the executive team.	May 10, 2015	May 20, 2015	Mike Black (Change Team member)	Time (8 hours)	NB
	F. Write report that compiles and summarizes findings from inspection reports from fire and health departments, NIC assessment, and internal assessment of compliance with ACA standards.	July 14, 2015	July 19, 2015	Lucy Jones (Change Team coordinator)	Time (8 hours)	NB
3						
Set priorities for addressing issues, based on level of threat to safety and security.	A.					
	B.					
	C.					
	D.					
	E.					
4						
Identify resources needed to resolve highest priority issues and sources of funding and assistance.	A.					
	B.					
	C.					
	D.					
	E.					
5						
...and so on...	A.					
	B.					
	C.					
	D.					
	E.					

Change Initiative Work Plan DRAFT

Change Initiative: _____

Stage	Task	Begin Date	End Date	Person Assigned	Resources Needed	Status of Task
1						
	A.					
	B.					
	C.					
	D.					
2						
	A.					
	B.					
	C.					
	D.					

Stage	Task	Begin Date	End Date	Person Assigned	Resources Needed	Status of Task
3						
	A.					
	B.					
	C.					
	D.					
4						
	A.					
	B.					
	C.					
	D.					
5						
	A.					
	B.					

	C.					
	D.					
6						
	A.					
	B.					
	C.					
	D.					

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Lesson Plan



Initiative: Leadership NSI

Program: National Sheriffs' Institute

Module 10: Leadership Plan Development

Time: 3.5 hours

Overview

In this module, participants create their personal leadership-development plan based on the self-assessments they completed during the program. They discuss their plan with a small group, including an instructor and several of their peers.

Performance Objectives

- Describe the components of Major Sources of Leadership Development
- Create a personal leadership development plan based on the completed self-assessment

Development Date: August 29, 2005
Revised: July 7, 2006; August 11, 2009;
March 4, 2010, March 3, 2015; May 2015

PRESENTATION GUIDE

End-of-Course comments:

Congratulations! We have now reached the last day of the NSI. We appreciate how hard each of you has worked throughout the week, and we hope that the NSI has provided you with insight and information that you can use to enhance your effectiveness as leaders.

This week, we have focused on what you need to do as a leader to:

- Set the direction for your term in office;
- Work with your executive team;
- Effectively use power and influence;
- Ensure you are aware of and can address potential ethics issues;
- Understand and manage the influence of the external environment on the sheriff's office;
- Identify and lead the change initiatives needed to achieve your leadership direction.

Anticipatory Set (5 minutes)

Ask: Raise your hand if you have learned some things you are eager to use in some way when you return to your work?

Responses will likely be: Hopefully everyone!

I'd like for each of you to think of one change you plan to make based on what you have learned.

I'm going to go quickly around the room and ask each of you to share a few words – no more than FIVE - about this change. For example, my change might be: pay attention to my power base.

Note to instructor: Go quickly around the room and get a response from each person. Duplicate responses are okay, too. If anyone starts to explain or describe, stop them and remind them – no more than four or five words.

Ask: What can happen to keep you from making this change?

Responses will likely be (get four or five very brief responses): my desk will be piled high; there will be crises to handle; I'll forget; there

Module 10 – Leadership Plan Development

will be lots of distractions; it won't be as clear as it was here.

this final module of the Academy, we will ask you to be introspective, to reflect on what you have learned this week and how this relates to you as an individual.

Often, new sheriffs face a wide array of challenges that require significant change in organizational structure, personnel, supervision methods, staff roles, funding allocations, and the nature and quality of public partnerships. We hope that what you have learned so far this week has enhanced your ability, in your leadership role, to address the challenges that are external to you as an individual, centering on your organization, your local criminal justice system, and your community. But like *all* leaders, you also face personal leadership challenges. Your ability to deal with the external challenges is dependent on your **personal development** as leaders.

We will ask you to identify the areas in which you think you most need improvement to be an effective leader. With instructors available for help, you will develop improvement strategies, present them to your small group, then get feedback from your peers.

Let's look at our objectives for this module:

- Describe the components of Major Sources of Leadership Development.
- Create a personal leadership development plan based on the completed self-assessment.

Instructional Input: 15 minutes

Leadership development model

The best leaders are the best learners! Excellent leadership requires intentionality and deliberate practice—practice of the skills we have discussed all week. A key piece of leadership is self-awareness—be sure you are getting feedback and making changes accordingly.

All people come to positions of leadership with varying degrees of the skills and abilities they need to succeed. In the case of new sheriffs, some may have come from police departments with a wealth of knowledge, skill, and experience in law enforcement. But they are likely not so knowledgeable about or experienced in the broad array of functions the sheriff oversees. Or they might not fully understand all

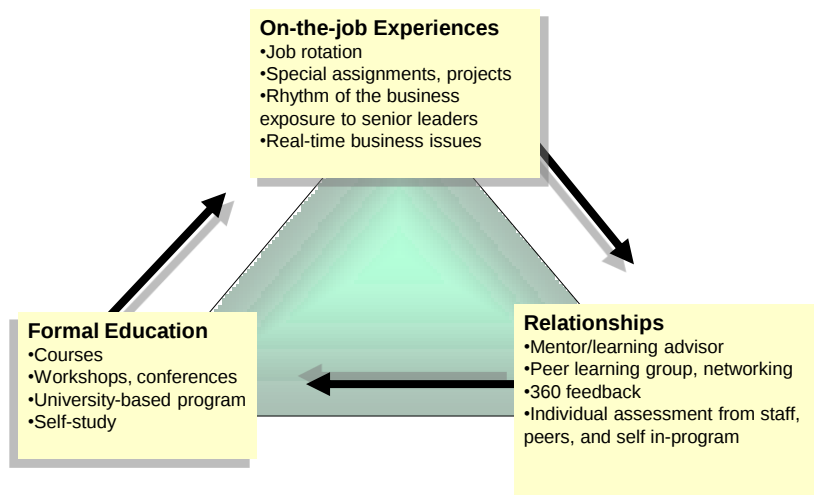
Module 10 – Leadership Plan Development

components of the local criminal justice system and how, as a leader, they need to work with and influence key members of the system. Others likely need to hone political skills or the ability to work with the media. Challenges can be related to personality preferences, preferred power sources, methods of dealing with conflict, or approaches to change. All of these challenges affect a person's ability to lead.

The key is in recognizing one's challenges and doing something to address them. Let's talk a little about some specific methods for enhancing your **personal development** as leaders.

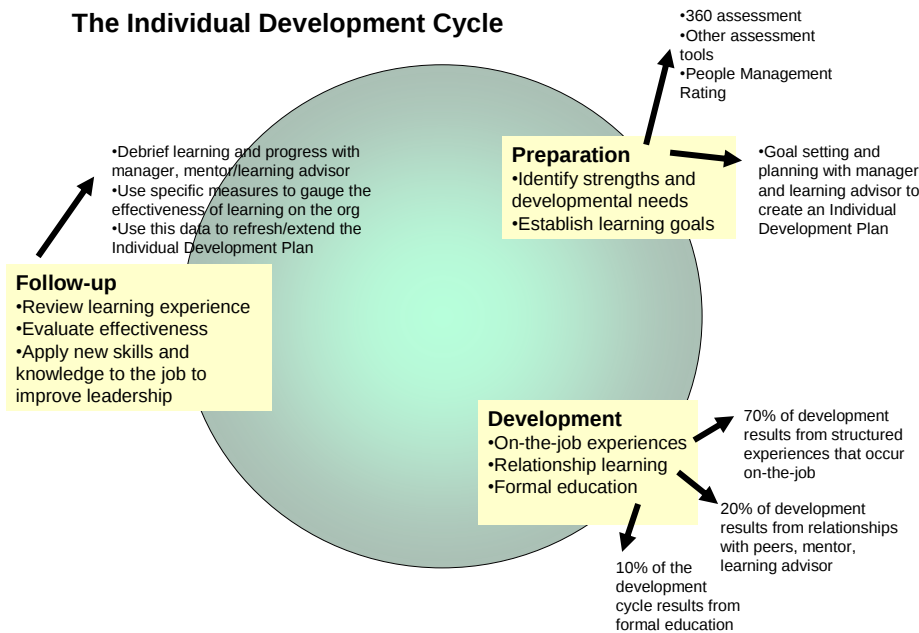
Research in the area of leadership development indicates that leaders develop in three ways: 1) formal education, 2) personal relationships, and 3) on-the-job experiences. The graphic on the slide, and also in your Participant Manual, lists specific sources for each.

The Major Sources of Leadership Development



Module 10 – Leadership Plan Development

What is surprising to many is the percentage of development that derives from each of these sources. Consider the representation on THIS slide - also in your Participant Manual.



Seventy percent of development—for staff, managers, and leaders—results from on-the-job experiences. These are special assignments, projects, job rotation, and real-time business issues. These are the things that cause a leader to learn, stretch, and grow in the context of their own organization.

About 20% of leadership development comes from relationship learning. Primary to this component is mentorship or coaching from more senior, more experienced leaders. Each of us can point to one or more people in our life who came alongside us and helped us understand how things work or how we should think about things or what approach to use in a given situation. That kind of personal learning is invaluable and can only come through relationships.

About 10% of leadership development comes from formal education. This in no way discounts the role or contribution of formal learning. Attendance at a workshop, conference, or university class exposes leaders to concepts, models, and approaches that can provide enormous value for the way in which leaders think about and lead their organizations. It's just that we spend the bulk of time in the other two places.

Module 10 – Leadership Plan Development

Guided Practice: 20 minutes

Individual activity and Large group discussion: Leadership-development model

Note to instructor: set up the large-group discussion by having individuals take a few minutes to respond to questions in the Participant Manual, then ask for responses from various participants.

Review each challenge listed below with the participants. For each, ask them to INDIVIDUALLY:

- Identify the effects of the challenge on the sheriff's ability to lead;
- Give three to four specific examples of what the sheriff could do to address the challenge;
- For each example, identify the source of leadership development.

Guide a brief discussion of what they individually listed.

The purpose of the discussion is simply to reinforce the leadership-development model presented in the lecture—not to fully process a leadership-development plan for each example. Sample responses are given for the first challenge only to indicate the types of answers we are trying to solicit for both challenges.

Challenge

"I like to be in control, and, in past jobs, I think this has allowed me to be successful in what I do. I know I can't do everything myself, but I admit I am one of those people who think that, if I want something done right, I have to do it myself. It's hard for me to trust anyone else to really take care of anything important."

Possible responses:

Effect on ability to lead

If I do everything myself, I am not really leading at all. I am not developing others, and I am not doing anything to enhance our organization capability. I am certainly not making the best use of my executive team.

People will perceive that I do not trust them to do well, that I have low expectations of them. This is demoralizing and undermines their efforts. Staff will stop trying to contribute to this organization. If that happens, I cannot lead my office to achieve my leadership direction.

If I am so immersed in doing the actual work, I will have no time to deal with the broader political, organizational, criminal justice, and community issues that are my responsibilities as a leader.

Module 10 – Leadership Plan Development

Leadership development strategies

Review my command staff and their direct reports to assess: 1) their expertise and strengths, 2) the projects I can let go of and assign to them, 3) the areas in which my command staff need development to be more effective, and 4) strategies to help them develop so they can take on more responsibility. (*Source of leadership development - on-the-job experience*)

Have monthly lunch meetings with a mentor to discuss my efforts to delegate more and to get advice and encouragement to continue to do this. (*Source of leadership development - relationships*)

Identify and take a class on effectively delegating responsibility. (*Source of leadership development –formal education*)

At least quarterly, identify and acknowledge (formally or informally) staff successes with responsibilities I have delegated as reinforcement for them and as reminder to myself that this can work and that I can trust others to do well—even if they don’t do things exactly as I would. (*Source of leadership development – on-the-job experience*)

Challenge Slide #2

I was an assistant police chief in a small department before I became a sheriff. I headed the internal operations, and I was good at that. Now, much of my responsibility is focused externally. Although I weathered the politics of the election, I am not experienced in the politics of working on an ongoing basis with other elected officials and community groups. Also, I am not accustomed to being in the public eye, with constant media scrutiny.

Instructional Input: 10 minutes for instruction

Sample leadership-development plan

Independent Practice: 2 hours

Note to instructor: Refer participants to the sample leadership development plan in their *Leadership Development Plan* booklet. Walk them through each section and ask for questions to ensure they understand what their final product will be.

Direct participants to the blank form in the *Leadership Development Plan* booklet. Provide instructions on how they will develop their own plans, as follows.

Module 10 – Leadership Plan Development

Greatest Strengths/Greatest Challenges are on your Star foldout

Remind them to put dates and specifics on their Action Plan.

Part 1: 45 minutes (1:00 – 2:15)

1. Review the results of your self-assessments, including the MBTI; the instruments on leadership practices, power and influence, and leading change; and the self-assessments you completed at the end of each module. Focus on the items related to you as an individual, to your ***personal development*** as a leader.

2. Identify your three greatest strengths in terms of your personal development as a leader.

Briefly describe how these strengths will serve you as a leader.

3. Identify three of your greatest challenges in terms of your personal development as a leader.

Briefly describe their effect on your ability to lead.

4. Considering the challenges you have identified, create a leadership-development plan that includes actions in relevant developmental areas (on-the-job experience, formal education, relationships) and the date or timeframe in which you will begin each action.

5. Meet with an instructor to review your completed plan.

Part 2: (Parts 2 and 3 take from 2:15 to 3:00/3:15 p.m.)

You may work in a breakout room or in the main classroom. Instructors will be available for questions.

1. After the instructor reviews your plan, use chart paper to write a summary of a) your greatest strength and how this enhances your ability to lead, b) your most significant challenge and how this affects your ability to lead, and c) for your most significant challenge, your two highest priority developmental actions and when you will begin these. . You will use this for your discussion with your small group.

Part 3 (ends at 3:00 – 3:15 p.m.)

You will have 6-7 minutes to share the information on your chart paper and get feedback from your peers (3-4 minutes for sharing, 3-4 minutes for feedback).

Module 10 – Leadership Plan Development

Notes to instructors

Assign participants to the same small groups they were in for “Leadership Direction” and “Leading Change.” They will be assigned the same instructor they had for the earlier small groups.

When you review the participants’ work, ensure they have picked challenges related to their *personal* leadership development and that their plan is specific.

Be available for participant questions as they work on all parts of this exercise.

All leadership development plans should be reviewed prior to the presentations.

Presentations will need to be carefully managed to ensure that all are completed within the time allotted. When all presentations have been made, remind participants of the time and location for pictures and graduation,

This module finishes between 3:00 and 3:15 p.m.

Closure and Evaluation:

Final evaluation completed by participants during the above exercise, while waiting for instructor input.

Break: 10 minutes

Graduation

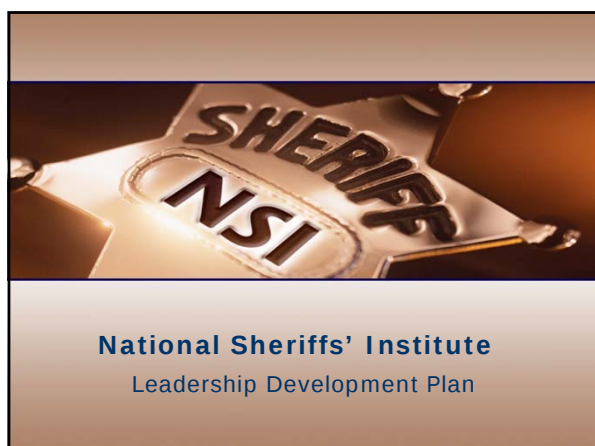
NSI graduation ceremony is set-up and run by NSA/NIC Staff; diplomas are printed for each participant by staff.

Graduation agenda typically follows this format:

- Comments and charge from from NSI faculty and NSA/NIC staff and mentoring sheriff
- Individual diplomas handed out
- Final announcements and thank-yous.
- Opportunity given for participants to make final comments, if desired.

End program at 5:00 p.m.

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Performance Objectives

- Describe the components of Major Sources of Leadership Development.
- Create a **personal** leadership development plan based on your completed self-assessments.




Leadership Development Plan



"I like to be in control, and, in past jobs, I think this has allowed me to be successful in what I do. I know I can't do everything myself, but I admit I am one of those people who think that, if I want something done right, I have to do it myself. It's hard for me to trust anyone else to really take care of anything important."

Example 1

A. What are the effects of the challenge on this sheriff's ability to lead?

B. What specific personal development could this sheriff plan to do to address the challenge? (specific On-the-job experience? Formal education? Relationships?)

Leadership Development Plan

I was an assistant police chief in a small department before I became a sheriff. I headed the internal operations, and I was good at that. Now, much of my responsibility is focused externally. Although I weathered the politics of the election, I am not experienced in the politics of working on an ongoing basis with other elected officials and community groups. Also, I am not accustomed to being in the public eye, with constant media scrutiny.



Example 2

- A. What are the effects of the challenge on this sheriff's ability to lead?
- B. What specific personal development could this sheriff plan to do to address the challenge? (specific On-the-job experience? Formal education? Relationships?)

Individual Exercise Part 1

- Review your **self-assessment results**
- On your form: list your **3 greatest strengths** related to your personal development as a leader. Briefly describe how these strengths serve you as a leader.
- List your **3 greatest challenges** related to your personal development as a leader. Briefly describe their effect on your ability to lead.
- Considering the challenges you have identified, create a **leadership-development plan** that includes actions in relevant developmental areas and when you will begin each action.
- **Meet with an instructor** to review your plan.

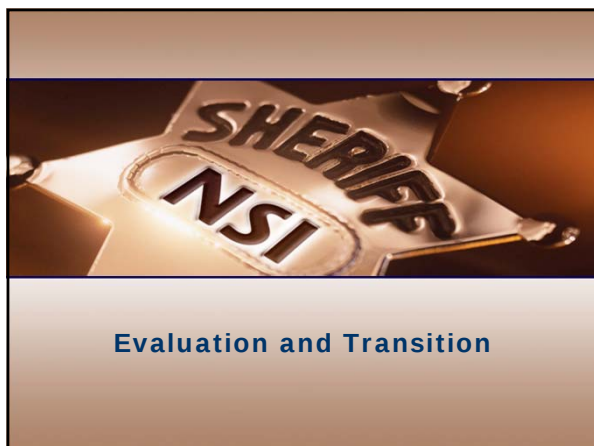
Individual Exercise Parts 2 and 3

Part 2

- Revise plan given instructor input
- Prepare chart for presentation

Part 3

- Conduct your presentation
- Receive feedback



Evaluation and Transition

Next Steps

- Complete End of Program Evaluation
- Pictures
- Prepare for Graduation!!

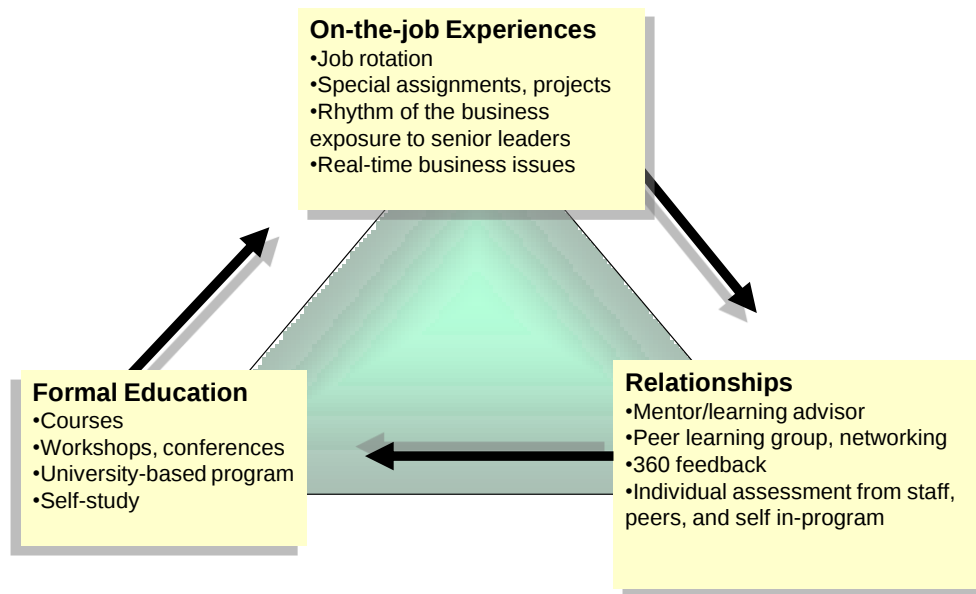


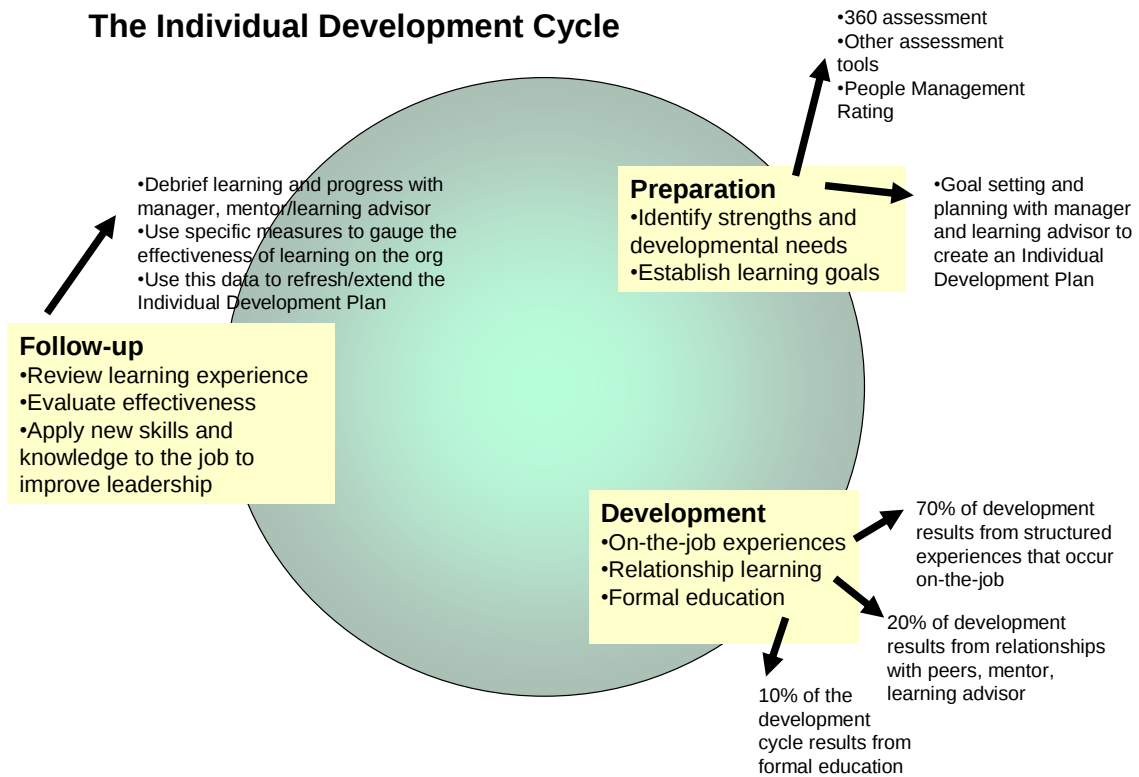
Leadership Plan Development

Performance Objectives

- Describe the components of Major Sources of Leadership Development.
- Create a personal leadership development plan based on the completed self-assessment.

The Major Sources of Leadership Development





Leadership Development

Individual Exercise and Large Group Discussion

Example 1:

"I like to be in control, and, in past jobs, I think this has allowed me to be successful in what I do. I know I can't do everything myself, but I admit I am one of those people who think that, if I want something done right, I have to do it myself. It's hard for me to trust anyone else to really take care of anything important."

A. What are the effects of the challenge on this sheriff's ability to lead?

B. What specific personal development could this sheriff plan to do to address the challenge? (specific On-the-job experience? Formal education? Relationships?)

Example 2:

"I was an assistant police chief in a small department before I became a sheriff. I headed the internal operations, and I was good at that. Now, much of my responsibility is focused externally. Although I weathered the politics of the election, I am not experienced in the politics of working on an ongoing basis with other elected officials and community groups. Also, I am not accustomed to being in the public eye, with constant media scrutiny."

A. What are the effects of the challenge on this sheriff's ability to lead?

B. What specific personal development could this sheriff plan to do to address the challenge? (specific On-the-job experience? Formal education? Relationships?)

Individual Exercise

Personal Leadership Development Plan

The forms for this exercise are in your “Leadership Development Plan” (LDP) booklet.

Part 1

1. Review the results of your self-assessments. ***Focus on the items related to you as an individual—those that pertain to your personal leadership development.***

- Myers-Briggs Type Inventory
- Leadership Practices Inventory
- Power Base Inventory
- Thomas-Kilmann Conflict Inventory
- Leading Change at Every Level
- End-of-module self-assessments
- Star in the back of your LDP

2. On the Personal Leadership Development form, list your **three** greatest strengths in terms of your personal development as a leader.

Briefly describe how these strengths will serve you as a leader.

3. List your **three** greatest challenges in terms of your personal development as a leader.

Briefly describe their effect on your ability to lead.

4. Considering the challenges you have identified, create a leadership-development plan that includes actions in relevant developmental areas (on-the-job experience, formal education, relationships) and the date or timeframe in which you will begin each action.

5. Meet with an instructor to review your completed plan.

Individual Exercise
Personal Leadership Development Plan

Part 2

After the instructor reviews your plan, make any necessary revisions/additions. Then use chart paper to write a summary of:

- Your greatest personal leadership strength.
- Your three most significant personal leadership challenges.
- For each challenge, your developmental actions and when you will begin these.

Part 3

With your small group in a breakout room you will be given time to present the information you recorded on your chart and get feedback from your peers.

NOTE: This chart will be left with your instructor—and will be part of the 3-month follow-up call from the lead faculty member.