

SBCSD

San Bernardino County  
Sheriff's POST  
Supervisory course  
Expanded Outline

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1/7/2014

**I. Introduction and Course Administration**

**A. Introduction and Overview**

- 1. Introduction of course facilitators**
  - a. Name**
  - b. Experience**
  - c. Facilitators for specialized blocks will be introduced at the beginning of their blocks**
- 2. Learning activity: “Café Exercise”**
  - a. Critical thinking concepts**
  - b. Optional discussion of tabletop questions**

**B. Course Overview**

- 1. Learning objectives**
  - a. Understand role as an organizational leader**
  - b. Develop skills to enhance effectiveness**
  - c. Adopt an analytical approach as a leader**
  - d. Identify and analyze useful leadership tools**
  - e. Identify expectations from community, management, peers, and subordinates**
  - f. Discover leadership is about influence and relationships**
  - g. Identify and analyze individual leadership and communication styles**
  - h. Identify, interpret, and analyze individual behavioral tendencies**

**C. Course Requirements**

- 1. Present a short briefing on an assigned topic**
- 2. Maintain a supervisor’s file**
- 3. Participate in team problem solving activities**
- 4. Conduct a counseling session**
- 5. Prepare a performance evaluation**

**D. Course Concepts**

- 1. Learning: the influence of experience as it applies to new situations**
- 2. Goal of learning: to describe, understand, predict, and influence behavior or thought**
- 3. Conduit of influence: relationships**
- 4. Motivation: need or desire to act a certain way**

- E. Student Introductions**
    - 1. Learning activity**
      - a.** Have students partner with someone they do not know
      - b.** Each pair of students interview one another
        - 1)** Name
        - 2)** Agency
        - 3)** Tenure
        - 4)** Two interesting things about each other
      - c.** Students introduce their partners
    - 2.** Instructors should model this by introducing one another (Option: Paired Visual Introduction Learning Activity)
  - F. Supervisory Course Notes**
    - 1.** Advise students that recording ideas can be a useful technique to reinforce significant learning points
    - 2.** Encourage students to make notes any time during class when they have an insight they want to capture
    - 3.** Questions they might consider:
      - a.** What have you learned about leadership?
      - b.** What have you learned about yourself?
      - c.** What goals will you adopt?
- G. Supervisor's Fictitious Team (SFT)**
  - 1.** Discuss how SFT videos impact this course
    - a.** Relate characters to student's own team
  - 2.** Show SFT video Duncan's Last Briefing
    - a.** Gives the students a brief overview of the team
  - 3.** Group discussion
    - a.** What do you think about these people (or this team)?
    - b.** Any concerns?
    - c.** Is there anything that you need to pay attention to?
    - d.** Is this group typical? How or why not?
    - e.** What do you know about these people now? (We actually know very little, and the class needs to recognize this.)
      - 1)** Body language, facial expressions, and actions of the team

- f.** Do you need more information?
- g.** Are there other sources of information that you might use?

**4.** Show SFT video Changing of the Guard

- a.** Ask: “We’ve learned a lot about these individuals. What do you think about Duncan’s information?”
- b.** Jason Garcia’s lack of motivation
- c.** Amy Sanchez’s situation
- d.** Mark Abrams’ frustrations over lack of promotion
- e.** Information that Vinnie Delfino might be leaving the agency
- f.** “How do we know this information?” (This encourages the class to identify that the only information they have is from Duncan.)
- g.** “How reliable is Duncan’s information?”
- h.** “Is this a typical way we learn about a new team?”
- i.** “What does it say about our roles as supervisors?”

## II. Employee Relationships

**A.** Learning Objectives: Given case studies, learning activities, video clips, and role-playing situations, the students will be able to:

1. Understand how socialization works within a team organization
2. Identify strategies used to socialize a team
3. Learn how to apply the use of a social contract to develop norms for behavior
4. Apply their roles as supervisors to clarify roles, norms, and expectations
5. Determine when and how socialization has positively occurred

**B.** Socialization

1. Brief large-group discussion. If the conduit of influence is relationships, how do I get started?

2. Learning activity: small groups

a. List things they would want to know about a newly assigned group of employees.

b. List how they would find out that information. (Most classes will bring up looking at personnel files.)

**C.** As a new leader, what do I need to know about my followers and team?

1. Background and experience

2. Individual needs/goals

3. Group mission/goals

4. Roles, status, norms of the group, and members

5. Cohesion of the group (If they miss any of these points, then facilitate a discussion on the value of each point.)

**D.** How will they get to know me?

**E.** Socialization as a Strategy

1. Socialization defined: "The acquisition of social knowledge and skills

necessary to assume an organizational role.” (*Leadership in Organizations* Department of Behavioral Sciences and Leadership, USMA)

2. Two perspectives:
  - a. The individual being socialized is made aware of behaviors, roles, norms, and expectations of the group.
  - b. The leader is responsible for ensuring that individuals learn the following: appropriate behavior, small group goals, their own roles in achieving these goals, and the expectations of the group and leader.
  
3. Ultimate goal
  - a. A mutually satisfying psychological contract between the individual and the group.
    - 1) Psychological contract defined: a process where the group attempts to influence the individual to adjust his/her personal identity to accomplish group goals.
  - b. Simultaneously:
    - 1) The individual attempts to influence the group to better fit his/her needs
    - 2) If successful, this results in a contract mutually beneficial between the group and individual.

#### **F. Socialization Leader Goals**

1. Commitment
  - a. People freely engage in the kind of diligent effort that is necessary for excelling
  - b. Individual productive efforts are generally an inherent part of satisfaction
2. Internalization
  - a. Officers perform well because good performance is consistent with their own values
  - b. Officers actually believe in the attitude or value and no longer require the leader’s presence to ensure compliance
3. Innovation
  - a. Adding new people to the group should bring refreshed ideas or values, thus rejuvenating the group and helping it to succeed

#### **G. Socialization – Key Players (Socialization Agents)**

1. Senior leaders
2. First-line leaders
3. Peers/trainers

4. Others (external to the group)
5. Can you identify these folks at River City Police Department?

**H. Key Socialization Agent – YOU**

1. You are responsible to your group to:
  - a. Model desired behaviors
  - b. Set clear expectations
  - c. Research and understand follower needs
  - d. Facilitate social support system
2. Show optional video clip *We Were Soldiers* (This clip is also rich with discussion points for DiSC®.)
3. Show optional video clip. *Crimson Tide* (This is an excellent opportunity to discuss Ramsey's socialization style concerning Hunter and the other officers.)
4. Show optional video clip *Serpico*
  - a. Small -group breakouts or large-group activity. Challenge group(s) to evaluate the leader actions as effective or ineffective. What would they have done differently?

**I. Clarify Goals and Priorities**

1. Describe clear path to goal achievement and potential rewards if appropriate, emphasize priorities
2. Provide challenging assignments

**J. Clarify Roles, Norms, and Expectations**

1. Explain group norms and your expectations
2. Provide information on standards and policies
3. Facilitate mutual acceptance
  - a. Realize the employee is the organization's most valuable resource
  - b. Use group role models to help facilitate the socialization process

**K. Show SFT video *Foster's First Briefing***

1. With the understanding that Foster is a brand new sergeant, what are your thoughts about this first briefing?
  - a. How do you think it went?
  - b. What are your thoughts about this first briefing?
  - c. What was positive?
  - d. What could have been improved?
  - e. Would you do anything differently at your first briefing? If so, what?

2. Ask students how they began to socialize their team members.
3. Ask students how they began their first briefing. How did it go?
4. What information do you think should be in a first briefing?
5. How do you make sure that employees feel valued?
6. Who in this team so far might be a good role model?

### III. DiSC® Personal Profile System

#### A. Learning Objectives

1. Understand your behavioral tendencies and develop an awareness of how your behavior affects others
2. Understand, respect, appreciate, and value individual differences
3. Develop strategies for working together to increase the performance, motivation, and satisfaction of others
4. Enhance your effectiveness in accomplishing tasks by further developing your relationships with others

#### B. Discussion Points

1. How many of you have worked with, or for, someone and found yourself wondering, "Why are they doing it that way?"
2. Have you ever thought, "That person is driving me crazy?"
3. Have you ever felt that you were being misunderstood?
4. Have you known individuals who always seem to see the glass as "half full" or "half empty?"

#### C. Successful Leaders

1. Understand their behaviors and how their behaviors may affect others
2. Have positive attitudes about themselves which causes others to have confidence in them
3. Know how to adapt their behaviors in different situations to meet organizational challenges

#### D. Background

1. Researched and developed by William Marston
2. Marston found that people tend to perceive and respond to the environment in different patterns
3. Researchers expanded on Marston model in 1972. It is based on two perceptions:
  - a. The environment as favorable or unfavorable
  - b. The person is more or less powerful than the environment (environment defined as everything outside the individual person: other people, events, circumstances)
4. Unique instrument that can be self-administered, self-scored, and self-interpreted
5. Widely available and easily accessible
6. Focuses on our behavior as we view the environment
  - a. Behaviors are observable
    - 1) Based on the situation
    - 2) Flexible
    - 3) Based on perceptions
7. Ask the students: "What affects your perceptions?"

#### E. Frustrating Behaviors

1. What behavior do you find the most frustrating in the work environment?
  - a. When people are so busy talking, they never seem to get anything done.
  - b. My boss always focuses on the minutiae and takes forever to approve a project.

#### F. Identify and Understand Personal Behavioral Differences and Know How to Become More Effective

1. Large-group activity. In what ways are our employees diverse?
  - a. Race/culture
  - b. Gender
  - c. Age

- d. Personality
- e. Sexual preference

**G.** Show SFT video *Break Room Video*

1. What occurred?
2. What are your options?
3. Are there any policy violations or hostile work environment issues?
4. Who else will be impacted by how you handle this?

**H.** Distribute: DiSC® Personality Profile

1. Instruct students to complete the instrument
  - a. Emphasize this is not a test but a tool to help determine behavioral tendencies and how and why others behave in certain ways
  - b. There are no right or wrong answers
  - c. No style is inherently better than the others
  - d. If the students understand themselves, they should be able to adapt their own behaviors as necessary
2. DiSC® completion instructions
  - a. In the space provided, have students identify those behaviors which are most to least characteristic of themselves in an identified situation
  - b. Working from top to bottom, assign:
    - 1) "4" to the MOST characteristic behavior
    - 2) "3" to the next most characteristic behavior
    - 3) "2" to the next most characteristic behavior.
    - 4) "1" to the least characteristic behavior
  - c. Continue by using a silver coin or hard object to rub on the oval to the right of each word
  - d. The letters **D i S C** will appear
  - e. After the letters are revealed, students will total the points for each letter

and write them in the boxes

- f. Students will post their scores on a flip chart

#### **IV. Role Identification and Transition**

- A. Learning Objectives:** Given specific case studies and scenarios, students will be able to:
  1. Contrast their new roles as supervisors with their past roles as officers
  2. Be able to assess any changes they need to make in order to move from followers to leaders
  3. Identify and evaluate personal and professional values

4. Differentiate their roles with administration, community, peers, and followers

**B. Characteristics of Good Supervision**

1. Students will list on easel charts the traits and characteristics of good supervisors

2. Expectations

a. Administration

b. Community

c. Peers

d. Followers

3. Values

a. Honesty

b. Competency

c. Inspiration

d. Vision

**C. Motivation and Influence**

1. Definition of leadership:

a. Any attempt to influence the behavior of another person or group, upward, downward, or sideways

b. Relationship skills necessary to develop socialization plan:

1) Good listening skills

2) Empathy

3) Good observational skills

4) Integrity

5) Honesty

## V. Power and Authority

### A. Learning Objectives:

1. Through analysis and facilitated discussions of case studies and video scenarios and clips, the students will:
  - a. Understand the differences between power and authority and identify the sources of each
  - b. Identify their own sources of power and authority and how to maximize influence through enhancing power bases
  - c. Identify issues of power and authority and how they relate to organizational and personal goals

### B. Principle of Atrophy (use it or lose it)

### C. Principle of Compensation

1. Pulling from one power to make up for a deficit in another

### D. People Act for Two Reasons:

1. Internal
2. External

### E. People Are Motivated by:

1. Feeling that others trust them
2. Feeling that they are challenged
3. Feeling good about themselves
4. Feeling competent and skilled
5. Being appreciated for who they are and what they do
6. Feeling excited or passionate about what they are doing
7. Feeling involved in activities that matter to them

### F. Influence and Power

1. Positional
2. Personal

**G.** Power Sources

1. Reward
2. Legitimate
3. Referent
4. Coercive
5. Expert
6. Information
7. Connection

## VI. Situational Leadership II®

### A. Learning Objectives

1. Identify the characteristics and needs of followers at each level of development
2. Monitor and diagnose the performance, competence, and commitment of followers to determine their need for direction and support
3. Adjust leadership style when competence or commitment increases or decreases
4. Conduct *Partnering for Performance* meetings to agree on goals and a plan for working together to achieve these goals
5. Resolve disagreements about development level
6. Identify leader's style preferences and recognize the importance of using styles flexibly
7. Discuss the importance of matching and the consequences of over or under supervising
8. Learn how to systematically improve individual leadership capacity using Situational Leadership® II
9. Understand why leadership capacity is so critical to organizational success
10. Develop followers' competence, confidence, and motivation so they learn to provide their own direction and support
11. Increase the quality and frequency of conversations about performance and development
12. Value and honor differences

### B. Purpose

1. Increase leader and follower communication through frequent conversations regarding follower's performance
2. Earn trust and respect by helping followers to be motivated, confident, and competent in identifiable tasks
3. Develop a common language for leadership
4. Match supervisory style with the needs of the follower
  - a. Beliefs and values
    - 1) People can and want to develop
    - 2) Leadership is a partnership
    - 3) People value involvement and communication
4. Leadership defined: an influence process, working with people to help them accomplish their goals and the goals of the organization

5.

C. Skills

1. Diagnosis – assessing development needs on a specific task
  - a. Task-specific knowledge and skills developed through
    - 1) Experience
    - 2) Training
    - 3) Coaching
  - b. Transferable knowledge and skills that can be used across multiple tasks
  - c. The motivation to perform the task, including:
    - 1) Excitement
    - 2) Enthusiasm
    - 3) Energy
  - d. The confidence to perform the task independently
  - e. Five diagnosis questions to be asked:
    - 1) What is the specific task?

- 2) How strong or good are the follower's demonstrated task knowledge and skills?
- 3) How strong or good are the follower's transferable skills?
- 4) How motivated, interested, or enthusiastic is the follower?
- 5) How confident and/or self-assured is the follower?

**f.** Define "doing vs. learning" the task

- 1) D-1 Enthusiastic Beginner
- 2) D-2 Disillusioned Learner
- 3) D-3 Capable but Cautious Performer
- 4) D-4 Self Reliant Achiever

**D.** Leader Behavior:

1. Directive behavior
  - a. Sets goals and clarifies expectations
  - b. Tells and shows a follower what to do, when, and how to do it
  - c. Closely supervises, monitors, and evaluates performance
2. Supportive behavior
  - a. Engages in more two-way communication
  - b. Listens and provides support and encouragement
  - c. Involves the other person in decision making
  - d. Encourages and facilitates self-reliant problem solving

**E.** Leader Responsibilities

1. With all four styles the leader:
  - a. Ensures tasks and expectations are clear
  - b. Observes and monitors performance
  - c. Gives feedback

2. Style choices
  - a. Match
  - b. Over-supervise
  - c. Under-supervise

**F. LBA II instrument (students should have taken instrument prior to this segment)**

1. Style flexibility
  - a. Primary style matrix
  - b. Secondary style matrix
  - c. Developing style matrix
2. Style effectiveness
  - a. Style diagnosis matrix
3. Five agreements
  - a. Pre-work
    - 1) Teach SL II model to employee
    - 2) Identify all outcomes
  - b. Get agreements on:
    - 1) Goals
    - 2) Development style
    - 3) Leadership style
    - 4) Behaviors
    - 5) How and how often to stay in touch

**G. Resolving a disagreement about development level (“The Branching Diagram”)**

1. Re-clarify the task
2. Ask for evidence of past experience and/or skills
3. Benchmark the follower’s performance against others

4. Go with the follower's diagnosis with a short timeline

## VII. Decision-Making Models

### A. Learning Objectives

1. Develop leader and follower problem-solving strategies and decision making
2. Apply a systems approach to problem solving and decision making
3. Discuss "groupthink" (Irving Janis, 1972) concerns and apply preventative strategies

### B. Problem-Solving Models

#### 1. SARA model

##### a. Scan

- 1) What is the real issue? (symptoms/problems)
- 2) Stakeholders
- 3) What is the objective?
- 4) Motivation/performance/satisfaction impacted

##### b. Analyze

- 1) What are the impacts?
- 2) Motivation, performance, satisfaction impacts
- 3) Causes of problem (root cause)
- 4) What are data sources?
- 5) Any leadership theories that apply?
- 6) Sources of feedback/support

##### c. Respond

- 1) Formulate leader action plan: What is my objective?
- 2) Alternatives to success
- 3) Theories or principles to guide
- 4) Expertise of others, DISC®, SLII
- 5) Does plan cover issues in SCAN area?

- d. Assess
  - 1) Is plan working?
  - 2) How do you get information to assess? Data collection?
  - 3) Time frames, feedback mechanisms available

2. Problem-Based Learning model

- a. Explore the issues (ill-structured problems)
  - 1) Define the significant parts
- b. What do we know?
  - 1) Facts determined to be reliable
  - 2) Strengths of team members
- c. Develop problem statement including all facets
  - 1) Written statement
  - 2) Agreement of group on statement
  - 3) Feedback to organization

3. List possible solutions (from strongest to weakest)

4. List actions to be taken with a timeline

5. What do we need to know?

- a. Discuss possible resources: experts, books, websites, etc.
- b. Assign and schedule research tasks, especially deadlines

6. Solution

- a. Problem statement, conclusion, process used, options considered, difficulties encountered

7. Evaluate

- a. People affected: motivation, performance, and satisfaction

C. Follower Expectations

- 1. Pick the right person

2. Provide guidance and resources
3. Anticipate and be able to answer questions
4. Standardize procedures
5. Use experts
6. Brainstorm with followers and peers
7. Train and develop
8. Refer to higher level when appropriate

**D. Leader Considerations**

1. Follower buy-in?
2. Data and/or expertise to solve problem or make decision alone
3. Development level of the group
4. Experts within the group
5. Brainstorm with follower or group
6. Facilitate disagreement within group
7. Train and develop skills

**E. Procedural Justice**

1. Decision procedures
  - a. Consistency
  - b. Without self-interest
  - c. On basis of accurate data
  - d. Opportunities to correct decision?
  - e. In the interest of all parties represented
  - f. Following moral and ethical standards

**F. Decision Making**

1. Styles
  - a. Autocratic I (solves problem alone)

- b.** Autocratic II (gets information from followers; makes decision)
  - c.** Consultative I (shares problem with relevant followers individually and makes a decision)
    - 1)** May or may not reflect follower's influence
  - d.** Consultative II (shares problem with the group; makes decision)
    - 1)** May or may not reflect group influence
  - e.** Group
    - 1)** Leader shares problem with followers as a group
    - 2)** Doesn't try to influence group to adopt leader's solution
    - 3)** Willing to accept and implement any decision group makes
- 2.** Application: show appropriate video (apply above information in learning activity)

## **G.** Groupthink

- 1.** Symptoms
  - a.** An illusion of invulnerability
  - b.** Collective effort to rationalize
  - c.** An unquestioned belief in the group's inherent morality
  - d.** Stereotyped views
  - e.** Direct pressure
  - f.** Self-censorship
  - g.** A shared illusion of unanimity
  - h.** The emergence of self-appointed mind-guards

## **VIII.** Generational Issues

### **A.** Learning Objectives

- 1.** Understand and recognize the potential differences in generational behaviors

2. Compare leader's value system with perceived values of followers from different generations
3. Analyze the impacts generational differences have on trust, focus, and perception
4. Recognize what defines specific generations of followers and leaders (events/experiences)
5. Examine and apply leadership principles and strategies for leading a multi-generational workforce

**B. Factors Defining Generational Differences (affects who we are and how we behave)**

1. Perceptual bias
  - a. Experience
  - b. Value system comparison
    - 1) Impacts trust between leader and follower
    - 2) Creates a narrow focus
    - 3) Builds frustration and creates resentment
2. Attention
  - a. Process of focusing our senses
  - b. People notice different things based on
    - 1) Physical limitations
    - 2) Level of awareness
    - 3) Stimulus
3. Perception
  - a. Sensory input organized and interpreted
  - b. Gives meaning to information received (example: varied crime scene witness accounts)
4. Cognition
  - a. Complex process of assimilating the sensory input we have received
  - b. Deciding what to do with it

**5. Personality – The way individuals behave and interact with others**

**a.** Individuals' beliefs can impact their own environments

**1)** Internal (my actions can influence events that occur)

**2)** External (other forces, people, circumstances, or fate is responsible for outcomes)

**b.** Introversion – Extroversion

**c.** Inflexible – Flexible

**d.** Dominant – Submissive

**e.** Big Picture – Details

**C. Defining Generations**

**1.** Formative years – values systems, ethics, style established

**2.** Each generation shares common set of experiences

**a.** Trends, events, headlines

**b.** Heroes

**c.** Music and mood

**d.** Parenting style and education

**3.** Adjust behaviors and build skills; don't radically change world view

**4.** Different perspectives on organizational issues

**a.** Leadership

**b.** Communication

**c.** Problem solving

**d.** Decision making

**D. American Generations in the Workplace**

**1.** Traditionalist (1921-1945)

**a.** 5% workforce (7 million 2011)

- b. Life influencing events
- c. Compelling messages from formative

**2. Generation X (1965-1979)**

- a. 32% of workforce (51 million 2011)
- b. Life influencing events – diversity generation
- c. Compelling messages from formative years
- d. Popular technology

**3. Generation Y (Millennials) (1980-1999)**

- a. 25% of workforce (40 million 2011)
- b. Life influencing events
- c. Compelling messages from formative years
- d. Popular technology

**E. Strategies for Leading the Multi-Generational Workforce**

1. Initiate conversations about generations to minimize judgmental behavior
2. Use socialization skills and discuss needs and preferences
3. Offer options (choices) to meet needs of individuals
4. Personalize style, be flexible in communications, and learn about preferences DISC®
5. Pursue different perspectives from multi-generational workforce to groupthink
6. Create challenging work environments
7. One size fits all rewards systems may not be effective
8. Give timely feedback
9. Provide autonomy where appropriate
10. Establish and communicate paths to success
11. Provide training and educational opportunity

**F. Leadership Principles for All Generations**

1. Everyone wants respect
2. Trust matters to all
3. People want leaders who are trustworthy and credible
4. Organizational politics is a problem for all generations
5. Change can be threatening
6. Loyalty depends on the context, not necessarily on the generation
7. Do the right things and retention problems are minimized
8. Everyone wants to learn
9. Most followers want a coach
10. Create meaningful work opportunities

## IX. Team Building

### A. Learning Objectives

1. Identify the four stages of team development and the patterns of behavior that define each stage
2. Identify task and relationship behavior within a team that require appropriate leader actions to increase performance
3. Recognize team regression and identify leader actions to improve performance
4. Participate in individual assignments, small group assignments, and class discussions; analyze a variety of teams in action and determine the development level of the teams

5. Utilize the team development handout and identify leader strategies for assisting teams in different stages of development
6. Identify various teams in their agencies and determine the development level of those teams and strategies for future development

**B. Stages of Team Development (linked to two factors: the task activities and the relationship activities)**

**1. Forming**

**a. Task activity**

- 1) Minimal output
- 2) Non-committal
- 3) Waiting
- 4) Watching
- 5) Hesitant

**b. Relationship activity**

- 1) Unspoken concerns
- 2) Rationalizing
- 3) Suspicion

**c. Impact on group structure**

- 1) Communication networks begin
- 2) Cohesiveness begins to develop
- 3) Informal group leadership emerges

**d. Appropriate leader actions**

- 1) Clarify team purpose
- 2) Communicate

- 3) Set attainable goals
- 4) Build trust
- 5) Set expectations

## 2. Storming

### a. Task activity

- 1) Competition
- 2) Low risk taking
- 3) Minimal output
- 4) Concern over goals

### b. Relationship activity

- 1) Polarization
- 2) In-fighting
- 3) Forming coalitions
- 4) Resolving conflict

### c. Impact on group structure?

- 1) Norms, cohesion, and communication continue
- 2) Rules are assigned and accepted

### d. Appropriate leader actions

- 1) Develop strategy to resolve conflict
- 2) Appraise performance
- 3) Model behavioral norms
- 4) Establish a system of rewards and recognition and obtain a small "win"

## 3. Norming

### a. Task activity

- 1) Moderate output

- 2) Developing skills
- 3) Getting organized

**b.** Relationship activity

- 1) A sense of cohesion
- 2) Feedback
- 3) Confiding
- 4) Establishing procedures
- 5) Confronting issues

**c.** Impact on group structure

- 1) Norms are enforced
- 2) Status is granted based on individual contributions to group

**d.** Appropriate leader actions

- 1) Direct group activity toward relevant tasks by respecting goals, attending to needs
- 2) Avoid dominance by individuals
- 3) Encourage questions
- 4) Offer training
- 5) Give positive and negative reinforcement

**4.** Performing

**a.** Task activity

- 1) Energy
- 2) Creativity
- 3) Initiative
- 4) Risk taking
- 5) Unity of vision

**b.** Relationship activity

- 1) High trust
  - 2) Strong cohesion
  - 3) Team and personal support
  - 4) Open communication
- c. Impact on group structure
- 1) Rigid structure diminishes
- d. Appropriate leader actions
- 1) Point out problems
  - 2) Facilitate group process
  - 3) Fade into the background
  - 4) Celebrate success

### C. Group Dynamics

1. Roles
2. Status
3. Norms
4. Composition
5. Cohesion

### D. Team Regression

1. Causes
  - a. Changes in roles, individual status, group norms, composition, (leadership changes) and cohesion
2. Leader actions
  - a. Should be consistent with group's new stage
3. Abnormal or inconsistent leader actions or a mismatch with the stage of development can also force group regression

## **X. Communications in a Diverse Workforce**

### **A. Learning Objectives**

- 1.** Given specific situations, understand and apply the factors that impact quality communications
- 2.** Understand and demonstrate the impacts of individual differences and similarities on the process of communication
- 3.** Relate and integrate the non-verbal component of communication and potential influences
- 4.** Analyze, apply, and evaluate leader strategies for good communication

### **B. Effective Communication**

- 1.** Messages given and received (voice and action)
- 2.** Feedback

3. The communications model
4. Motives in communication
5. Value differences

**C. Communication Process**

1. Intended message assessed by receiver
  - a. Choice of words, phrases
  - b. Expression
  - c. Tone

**D. Interpretation**

1. Motives of sender same as receiver?
2. Values differences
3. Age, gender, and education differences in terminology
4. World view

**E. Non-Verbal Communication**

1. Impact on receiver
  - a. 7% verbal
  - b. 38% vocal (tone of voice, rate, inflection, pauses)
  - c. 55% facial expressions, body language
2. Helps meaning
  - a. Head nods
  - b. Eye contact
  - c. Absence of distractions
3. Congruency of whole message
  - a. Words match facial and body behavior

**XI. Counseling Employees**

**A. Learning Objectives**

- 1.** Given specific situations, analyze the characteristics of an effective leader-counselor

2. Identify and evaluate barriers to effective counseling
3. Demonstrate safe strategies for counseling
4. Recognize and assess leaders' limitations of counseling
5. Examine and discuss critical aspects of problem, career, and performance counseling

**B.** SFT Videos "*Late to Briefing*" and "*Morgan's Apology*"

1. Concerns and supervisory actions

**C.** Characteristics of Effective Counseling

1. Self-awareness
2. Congruence
3. Empathy
4. Respect for others
5. Honesty

**D.** Barriers to Counseling

1. Leader authority
2. Tendency to advise

**E.** The Listening Continuum

1. Active listening
  - a. Eye contact
  - b. Verbal following, echoing, paraphrasing
  - c. Questioning (open vs. closed)
  - d. Stating behavioral observations

**F.** SFT video *The Discovery*

1. Observations
2. Course of action

**G.** Purpose of Counseling

1. Fact-finding
2. Personal support
3. Performance issues

**H.** Variables in Counseling

1. Documentation
2. Responsiveness
3. Sensitivity
4. Preparedness
5. Follow the rule of "just cause"
6. Cognizance of potential internal emotional responses
7. Anticipate being a possible witness

**I.** Video clips from *Good Will Hunting*

1. Attitude of client
2. Attitude of counselor
  - a. Emotional triggers

**J.** SFT videos *Vehicle Pursuit* and *Vehicle Pursuit Follow-up*

1. Observations
2. Course of action

**K.** Practice Counseling Session

1. Guidelines in Instructional Guide

**L.** Live Counseling Sessions

1. Coaches – should be or have been law enforcement supervisors
2. Role-Players – must know the roles they will play
3. Guidelines for set-up are in Instructional Guide

**XII.**  
Evaluati  
ng Employees

**A.** Learning Objectives

1. Examine the purpose and scope of a performance evaluation system
2. Identify and utilize the four stages of a performance evaluation system
3. Select the necessary data required to complete a performance evaluation
4. Evaluate and apply basic leader actions in delivering the performance evaluation to the follower
5. Develop a performance improvement plan using students' agency formats

**B.** Purpose

1. Feedback to follower
2. Identify individual training and development needs
3. Make reward decisions
4. Determine organizational training and development needs
5. Personnel decisions (promotion, transfer, separation)
6. Confirm that good hiring decisions are being made

**C.** Leader Considerations

1. Organizational policy

2. Time concerns
3. M.O.U. agreements
4. Performance improvement plans
5. Merit pay attached
6. Chain of command in the loop

**D. Four-Stage Procedure**

1. Plan work and set standards
  - a. Socialize follower in the new environment
  - b. Clarify work functions and follower responsibilities along with leader expectations
  - c. Provide information that demonstrates how these responsibilities contribute to organizational goals
  - d. Provide rating forms and explain the system of evaluation
  - e. Provide information regarding performance milestones, if appropriate
2. Observing work and collecting information
  - a. Provide timely feedback during the rating period (feedback focus should be on what can be done to improve and less on what went wrong)
  - b. Record examples that are indicative of specific performance criteria
3. Determining and appraising results
  - a. Time available
  - b. Within policy?
  - c. Date last evaluation completed
  - d. Performance issues
  - e. Interview other managers and supervisors who worked with follower
  - f. Use data from entire rating period
  - g. Determine employee's performance in terms of a rating value



## E. Performance Improvement Plans

### 1. Definition and strategies

- a. Usually short in duration
- b. Designed to improve a deficiency
- c. Leader/follower agreement on goals
- d. Must have organizational support
- e. Follow-up is critical
- f. Can be in memo form if agency policy permits
- g. Purpose, intent, or goal must be stated
- h. Include action, e.g. training or re-training
- i. Define success within the plan
- j. Define leader responsibilities
- k. Determine ending date

## XIII. Discipline

**A. Learning Objectives**

1. Understand and apply the principles of progressive discipline to appropriate situations
2. Evaluate and apply the appropriate progressive disciplinary strategies
3. Examine the purpose of discipline and justify when documentation is necessary
4. Recognize the value of performance improvement plans and prepare a model plan

**B. Definition**

1. Instruction or training which corrects, molds, strengthens skills (to teach)
2. Process by which management ensures conduct of its employees conforms to the established and articulated standards

**C. Purpose**

1. Disciple = to teach
2. Change behavior
3. Hold followers accountable
4. Personal self-control
5. Orderly, professional conduct

**D. Expectations**

1. Reasonable and appropriate
2. Timely
3. Fair – perception important to department morale (sets the tone)
4. Reflects values of the organization
5. Is it always necessary to be “progressive”?

**E. Progressive Discipline**

1. Definition
  - a. A process for dealing with job-related behavior that does not meet expected and communicated performance standards

## 2. Process

- a. Increasingly formal efforts to provide feedback to employee
- b. Correct problem in order to improve employee performance

## 3. Continuum

- a. Counseling
- b. Verbal warning/reprimand
- c. Retraining
- d. Performance Improvement Plan (PIP)
- e. Written reprimand
- f. Suspension
- g. Demotion
- h. Termination

## F. Discipline Documentation

### 1. Purpose

- a. If it is not written down, it didn't happen
- b. Identify specific behaviors, including necessary dates and details
- c. Negative comments to file must be seen and acknowledged by employee
- d. Written documentation
  - 1) Conform to agency standards, policies, and procedures
  - 2) Must be timely
  - 3) Organizational support needed
  - 4) Any action required
  - 5) Leader must know which levels of discipline they may use

- 6) Adhere to Public Safety Officer's Procedural Bill of Rights (POBR)

**XIV. Stress Management and  
Critical Incident Stress**

- A. Learning Objectives: Given case studies, film clips, and scenarios, the students will:
  1. Identify the different types of stress and the effects on those they supervise
  2. Analyze the body's physical response to stress and evaluate how that response manifests itself to major body parts and functions
  3. Examine typical stressors for both followers and supervisors
  4. Compare and contrast positive ways to cope and manage stress with deleterious methods of coping with stress
  5. Examine how to minimize and prevent stress from negatively impacting health, relationships, and mental and physical fitness
  6. Recognize when a follower needs outside intervention (PTSD, suicide ideation)
  7. Research and create a resource guide for the student's agency to deal with issues that are beyond his/  
her scope of involvement or control
  8. Understand the psychological effects of a critical incident
  9. Identify resources available for individuals experiencing a critical incident
  10. Analyze case studies of followers and examine issues and evaluate possible

solutions and outcomes involved in each

11. Explain what constitutes critical incidents and assess physical and psychological reactions
12. Assess follower's behavior when repeatedly demonstrating crisis symptoms over an extended period of time and determine when referrals are necessary

**B. Stress definition:**

1. A physical, mental, or emotional response to events that causes bodily or mental tension
2. Any outside force or event that has an effect on our body or mind
  - a. Stress is one of the top health hazards we face today
  - b. Impossible to go through life without the irritations that cause tension
  - c. Some people deal with the situation better than others
3. Wear and tear on the body - "the non-specific response of the body to any demand made on it" - Hans Selye
  - a. Distress
  - b. Eustress
4. A signal is interpreted by the brain to the endocrine glands causing chemicals to enter the blood stream that cause changes resulting in flight or fight responses
  - a. Blood pressure
  - b. Muscle tension
  - c. Breathing

**C. Why Supervisors Should Study Stress**

1. The "biological roller-coaster" for law enforcement
  - a. Hyper-vigilance - a threat-based perspective
  - b. N.U.T.S. (Nagging Unfinished Tasks)

**D. Immediate Stress Responses**

1. Brain – dulls body's senses in pain; thinking and memory may improve
2. Eyes – pupils dilate for better vision
3. Lungs – take in more oxygen
4. Heart – bloodstream brings more oxygen and glucose
5. Liver – sugar stored as glycogen turns into glucose (energy)
6. Adrenal glands – fight or flight hormone epinephrine (adrenaline)
7. Intestines – digestion halts so energy will go into muscles
8. Spleen – extra red blood cells flow out so blood can carry more oxygen
9. Hair – becomes erect – makes animals look larger

#### E. Stages

1. Balanced – normal level of resistance – homeostasis
2. Alarm – body gets ready to cope
3. Resistance – continued chemicals into blood stream
  - a. Immunological system breakdown
  - b. Feats of strength
4. Exhaustion
  - a. Organ damage

#### F. Typical Law Enforcement Stressors

1. Critical incidents
2. Family issues, divorce, separation
3. Death or severe injury of spouse, child, partner
4. Cumulative horrific scenes or investigations
5. Accidents, suicides
6. Financial difficulties

#### G. Typical Supervisory Stressors

1. Value differences
2. Discomfort with confrontation
3. Overwhelmed by the responsibility
4. Having difficulty communicating

#### H. Types of Stress

1. Emotional
2. Physical
3. Behavioral
4. Cognitive
5. Trauma-related stress may fall into all four categories
  - a. Psycho-biological event

#### I. Unreal Coping Mechanisms for Stress Relief

1. Defense mechanisms: band-aid approach
  - a. Rationalization
  - b. Projection
  - c. Displacement
  - d. Regression
  - e. Compensation

#### J. Managing Stress

1. Techniques
  - a. Relaxation – deep breathing- tension/release exercises
  - b. Meditation, yoga
  - c. Exercise aerobic and anaerobic (weights for increased metabolism and fitness)
  - d. Biofeedback
  - e. Guided imagery

**f.** Get enough sleep (8 hours recommended)

**g.** Massage

**2.** Nutrition and Health

**a.** Best foods, healthy choices, and portion control (heart health)

**b.** Hydration

**c.** Healthy weight (omentum – belly fat most dangerous)

**d.** No smoking

**3.** Emotional Health: Surviving

**a.** Support and companionship: good friends, relatives

**b.** Pets

**c.** Healthy sex

**d.** Marriage, relationship, family counseling, when appropriate or needed

**e.** Time management

**f.** Hobbies

**g.** Medication for anxiety/stress, when appropriate

**h.** Attend self-help groups, when appropriate

**i.** Peer counseling

**K.** Critical Incident Stress

**1.** Human side of critical incidents

**a.** Students complete (may be anonymous)

**b.** Human side critical incident checklist review

**2.** Personal critical incident experiences

**a.** Impact

**b.** Treatment by agency

**c.** Improvements



- d. Avoid substance abuse (alcohol dehydrates)
- e. Express your feelings as they arise
- f. Spend time with others
- g. Use sleeplessness constructively
- h. Don't make big changes in your life
- i. Eat well balanced, regular meals; stay hydrated (water is best)
- j. Seek help if you need it from experienced persons

**8.** How may a supervisor help on a personal basis?

- a. Spend time with the employee
  - 1) Offer assistance and a listening ear, provide reassurance when appropriate
  - 2) Help with tasks
  - 3) Give some space, private time
  - 4) Don't take anger or frustration personally
  - 5) Don't tell him/her it is fortunate it wasn't worse
  - 6) Just being present may be all that is needed
  - 7) When appropriate, suggest professional assistance

**9.** Show SFT videos *Officer Safety* and *Nelson's Concerns*

- a. Discuss the two videos and determine what should be done

**10.** Optional Learning Activity

- a. Table-top exercise of case studies implying critical incident stress
  - 1) What are major issues?
  - 2) What is your responsibility as a supervisor?

**11.** Post-Traumatic Stress Disorder (PTSD)

- a. Signs of re-experiencing the event
  - 1) Recurrent, intrusive recollection of event

- 2) Recurrent, distressing dreams of event
- 3) Flashbacks (can occur whether sober or intoxicated)
- 4) Intense distress over situations, sounds, smells resembling event
- 5) Intense nervous system activity (adrenaline rush, rapid heartbeat)

**b.** Signs of numbing behavior

- 1) Efforts to avoid thoughts, feelings, and conversations associated with the trauma
- 2) Efforts to avoid activities, places, or people that create memories of the trauma
- 3) Inability to recall important aspects of the trauma
- 4) Markedly diminished interest/participation in significant activities
- 5) Feeling detached or estranged from others
- 6) Inability to express feelings
- 7) Sense of foreshortened future

**c.** Signs of increasing arousal

- 1) Difficulty falling or staying asleep
- 2) Irritability or outbursts of anger
- 3) Difficulty concentrating
- 4) Hyper-vigilance
- 5) An exaggerated startle response to loud noises or unexpected movements

**12.** When behavioral and emotional stress cross the line

**a.** Suicide

- 1) Warnings
- 2) External signs
- 3) Resources

## **XV. Critical Incident Management-Tactical**

### **A. Learning Objectives**

- 1.** Participating in individual assignments, small-group assignments, and class discussion; analyze a variety of critical incidents and develop proper responses to those incidents
- 2.** Identify learning needs related to the handling of critical incidents
- 3.** Develop a plan to resolve learning needs upon return to departments
- 4.** Recognize and apply fusion centers protocols to appropriate situations

### **B. Supervisory Responsibilities**

- 1.** Knowledge and application of
  - a.** ICS NIMS
  - b.** SEMS

### **C. Tactical Concepts and Considerations**

- 1.** ICS, NIMS, SEMS
- 2.** The influence of "groupthink" – Irving Janis, 1972
  - a.** Illusion of invulnerability
  - b.** Collective rationalization
  - c.** Belief in inherent morality
  - d.** Stereotyped views of out-groups
  - e.** Direct pressure on dissenters
  - f.** Self censorship
  - g.** Illusion of unanimity
  - h.** Self appointed mind guards
- 4.** Use of Swat

### **D. Reduction of Errors**

- 1.** Team's health and well-being
- 2.** Appropriate communication channels

3. Establish a command post with clear identification of incident commander in charge
  4. Implement basic emergency incident management protocols
  5. Regular training in ICS steps
  6. Trained and prepared team
- E. Fusion Centers**
1. Protocols
  2. Resources
  3. Local contacts

## **XVI. Legal Issues**

### **A. Learning Objectives**

1. Given examples, case studies, and through class discussion, understand and apply concepts of civil liability (negligent retention, supervision, duty)
2. Given case studies, learning activities, and through classroom discussions, assess when employee rights are being adhered to and when to apply agency-specific labor agreements
3. Understand what information must remain confidential and justify when that information may be released
4. Determine what procedures should be followed to avoid violating officers' rights (POBR)
5. Understand the dynamics and responsibilities of vicarious liability
6. Understand and apply the legal requirements under the Victim's Bill of Rights Act of 2008 (Marsy's Law) and conclude what impact it has on supervision
7. Recognize responsibilities when an employee falls under the guidelines of the Workers' Compensation Law

### **B. Civil Liability**

1. Negligence
  - a. Supervisor is held to a duty or standard of care (to act or perform to a certain level)

**b.** Failure to perform or attain the prescribed duty or standard of care constitutes a breach of that duty

**c.** Causation or proximate cause

**d.** Plaintiff must sustain some injury or damage

**2.** Negligence of duty

**a.** To whom is the duty owed:

**1)** Depends on job function

**2)** Police have duty to protect society in general but do not have a duty to protect or defend individuals unless:

**a)** They are in police custody

**b)** They are put at risk by police activities

**c)** They are responding to police orders or directions

**d)** They relied on statements or promises made by police

**3.** Negligent supervision/failure to supervise

**a.** Liability can be extended to supervisory personnel who fail to reasonably supervise those in their charge

**b.** The supervisor need not have specific knowledge of the issue, as the consequences of the failure to supervise must only be foreseeable

**c.** The supervisor's conduct must be overt, show tacit approval of the disputed action, or show purposeful disregard of the disputed act(s) or condition(s)

**4.** Negligent retention

**a.** An employer is liable for retaining an employee who is known to be unfit for the position

**1)** Cannot meet minimum mandated requirements

**b.** Supervisory duties

- 1) Act of inquiry required when any evidence suggests that employee might have performance issues
    - 2) Reasonable investigation and findings
    - 3) Reasonable intervention to take appropriate actions to prevent the recurrence of the offense
  - c. Actual knowledge of employee's actions is not required if reasonable person would be expected to know or should have known
5. Vicarious liability
  - a. The imputation of liability upon one person for the actions of another
  - b. If liability is incurred during an employee's normal course and scope of job, then the liability is extended to the organization
  - c. Deliberate indifference or tacit approval of situations/conditions is sufficient to create a nexus between supervisory personnel and subordinates of any rank
6. Disparate treatment
  - a. Title VII Civil Rights Action defined: intentional discrimination towards an employee on the basis of a protected class or characteristic such as sex, race, or age
7. Defamation
  - a. Counseling and employee evaluations
    - 1) Supervisor may be liable for disclosures about current or former employee shown to be false if employee's reputation is harmed as a result
      - a) Libel – defamatory statements that are written down
      - b) Slander – defamatory statements that are spoken
    - 2) Negative job performance evaluations – usually held to be statements of opinions rather than fact and hence not properly the subject of a defamation action
    - 3) Employer's performance evaluation falsely accusing an employee of criminal conduct, lack of integrity, dishonesty, incompetence, or reprehensible personal characteristics or behavior can support an action for libel
8. Failure to train to an established standard
  - a. Government liability – 42 USC 1983

- b. [City of Canton v Harris](#) established municipal liability under “Failure to Train”
- c. To substantiate government liability for failure to train, the plaintiff must assert
  - 1) A violation of a federally protected right
  - 2) Inadequate training of employees amounting to deliberate indifference
  - 3) Causation between the plaintiff’s injury and the inadequate training
- d. Defense against liability
  - 1) “Qualified” limited immunity is available to government entities and certain employees
  - 2) Discretionary immunity- a public employee is not liable for an injury resulting from an act or omission that was “the result of the exercise of discretion vested in him whether or not such discretion be abused” [Govt. Code 820.2](#)
  - 3) Exception: [Miranda](#) – those who intentionally violate the rights protected by Miranda must expect to have to defend themselves in civil actions

C. Labor Agreements – control how we deal with represented employees

- 1. NLRB v Weingarten mandates (if requested by employee) reasonable counsel with, and presence with, union representation in investigatory interviews (Weingarten no longer extends to non-represented employees)

D. Employee Rights under AB 301, [Govt. Code 3300-3311](#) Public Safety Officer’s Procedural Bill of Rights (POBR)

- 1. POBR applies to employees classified as “peace officers”
- 2. POBR does not apply to 830.6 P.C. reserves, temps, or extra-help personnel
- 3. POBR: Govt. Code 3302 Political Activity
  - a. Limitations: not on duty, cannot associate agency with political views, not off duty if activity contrary to police purpose
- 4. POBR: Govt. Code 3303 procedures when public safety officer is under investigation and subject to interrogation that could lead to “punitive action” (Any action that would lead to dismissal, demotion, suspension, reduction in salary, written reprimand, or transfer for purpose of punishment)
  - a. Requirements for interrogation

- 1) Conducted at a reasonable hour
- 2) Disclosure of interrogator's identity
- 3) Prior disclosure of the general nature of the investigation
- 4) Must not be unreasonably long and breaks must be allowed
- 5) Officer must not be subjected to offensive language or threats
- 6) Coerced statements may not be used
- 7) Officer must be afforded a copy of recorded interrogations
- 8) Miranda applies
- 9) Representation is allowed

5. POBR [Govt. Code 3303h](#) - Criminal issues

- a. If, prior to or during the interrogation of an officer, it is deemed he/she may be charged with a criminal offense, Miranda must be immediately administered
- b. [Lybarger v. City of Los Angeles](#) admonishment

6. POBR Govt. Code 3304 – Lawful exercise of rights

- a. Agencies may not punish or deny promotion because officer exercised his/her rights under POBR
- b. No punitive action or denial of promotion on grounds other than merit are allowed without providing officer with opportunity for administrative appeal
- c. [Skelly v. State of California](#)

- 1) Skelly requires, prior to discipline, a statement containing nature of discipline, effective date, reasons, rule or policy violated, advisement of right to respond
- 2) Pre-disciplinary hearing with someone with authority to rescind the discipline
- 3) A full evidentiary hearing in front of a "reasonably impartial" third party

7. POBR (other provisions)

- a. Right to receive and sign adverse comments in personnel file (Govt. Code 3305)
- b. Right to respond within 30 days to adverse comments in personnel file (Govt. Code 3306)

- c. Right to refuse polygraph exams (Govt. Code 3307)
- d. Limits on financial disclosure (Govt. Code 3308)
- e. No locker searches absent personal presence, notice, consent, or a search warrant (Govt. Code 3309)
- f. Officer remedies if rights are violated (Govt. Code 3309.5)

#### E. Release of Employee Information

1. [Article 1 §1 California Constitution](#) includes a right to privacy. A violation must include:
  - a. Legally protected private interest
  - b. Reasonable expectation of privacy
  - c. A defeat of, or overcoming, the expectation of privacy
2. [Pitchess v. Superior Court](#), 11 Cal. 3d 531
  - a. Allows release of parts of an officer's personnel file if applicable character issues are present
  - b. Involves judicial review
  - c. Employees must be advised
3. [Brady v. Maryland](#) 373 US 83
  - a. Requires release of employee's information, pursuant to a defense motion, if it would tend to be exculpatory or assist the theory of defense
  - b. Generally amounts to "past bad acts" or character information
4. Medical Records ([Civil Code §56.20](#))
  - a. No employer shall use, disclose, or knowingly permit its employees or agents to use or disclose medical information which the employer possesses pertaining to its employees without patient having first signed an authorization
  - b. Exceptions
    - 1) When compelled by judicial or administrative process or any other specific provision of law
    - 2) When the employee's medical condition is at issue in a legal proceeding involving the employer

- 3) Administering benefit plans
- 4) To a health care professional or facility to aid the diagnosis or treatment of the patient, where the patient is unable to authorize the disclosure

**F. Avoiding Civil Liability**

**1. Strict adherence to**

- a. The law
- b. POBR
- c. Departmental policies
- d. Labor agreements (MOUs)

**2. Diligent supervision**

- a. Knowledge of applicable agreements and attention to detail and policy
- b. Recognition of the functions and adherence to the appropriate command role
- c. Ethical actions
- d. Appropriate and timely intervention
- e. Appropriate and timely reporting
- f. Equal treatment and consistent application
- g. Complete, thorough, and timely documentation
- h. Involve available resources such as command staff, legal counsel, IA, and POST as soon as appropriate
- i. Obtain releases when applicable

**G. Marsy's Law (California Constitution Article I, §28; [Penal Code 679-680](#))**

**1. Purpose and intent**

- a. Protect and extend rights and due process to victims of all crime
- b. To modify parole hearing protocols for convicted murderers
  - 1) Mandated card given to every victim at time of initial contact

2. Victim defined: a person who suffers direct or threatened physical, psychological, or financial harm (May include spouse, parents, children, sibling, or guardian.)
3. Not victims
  - a. Person in custody for an offense
  - b. The accused
  - c. A person the court finds would not act in the best interests of a minor victim
4. Rights under Marsy's Law
  - a. Respect, privacy, dignity, and to be free from intimidation, harassment, and abuse throughout the criminal or juvenile justice process
  - b. Protection – Reasonable protection from defendant and persons acting on behalf of the defendant
  - c. Safety
    - 1) Bail setting, reducing or denying – judge considers protection of public, safety of victim, seriousness of offense, previous criminal record
    - 2) Arrest for "serious felony," bail hearing before judge with prosecutor and victim given notice and opportunity to be heard
  - d. Confidentiality – prevents disclosure of confidential information or records to defendant, the defendant's attorney, or any other person acting on behalf of defendant
  - e. Refusal – an interview, deposition, or discovery request by the defendant, his/her attorney, or any other person acting on behalf of the defendant and to set reasonable conditions on the conduct of any such interview to which the victim consents
  - f. Notice and confer – Victim has right to confer with prosecutor regarding arrest of defendant, charges filed, extradition process, and to be notified of and informed before any pre-trial disposition
  - g. Notice and be present – reasonable notice of all public proceedings at which the defendant and prosecutor are entitled to be present
  - h. Notice and to be heard – at any proceeding involving bail, post-arrest release decision, plea, sentencing, post-conviction release, or any proceeding in which a right of the victim is at issue
  - i. Speedy trial and a prompt and final conclusion of the case and any related

post-judgment proceedings

- j.** Information to probation – victim has right, before sentencing, to provide information about the impact of the offense on the victim and victim’s family and make sentencing recommendations to the probation department
- k.** Probation report – upon request, victim has right to the probation report at the same time it is available to the defendant, except for portions made confidential by law ([HIPPA](#))
- l.** Right to information – victim has right to be informed of a conviction, the sentence, the place and time of incarceration, any other disposition of the defendant, scheduled release date of the defendant, and the release of or escape of the defendant from custody
- m.** Restitution – victims have the right to seek and secure restitution from convicted persons in every case regardless of the sentence. Victim gets paid first before any other debts
- n.** Prompt return of property – when no longer needed as evidence
- o.** Information on parole – victim to be informed of all parole procedures, participate in parole process, and provide information to parole authority for consideration before parole of offender, and upon request, be notified of parole or other release of the offender

**5.** Impact on law enforcement

- a.** Ensure that all victims are treated with fairness and respect
- b.** Comply with provisions of this law
- c.** Conduct self in accordance with the Law Enforcement Professional Code of Ethics

**H.** Workers’ Compensation Law

**1.** Supervisory responsibilities

- a.** Reporting requirements
- b.** Following up
- c.** Knowledge of [Labor Code §§4850-4856](#)

**XVII.** Ethical Decision Making

**A. Learning Objectives**

1. Examine guidelines for ethical behavior
2. Identify principles of service as they relate to carrying out the organizational mission
3. Examine how competition and stress affect ethical behavior within organizations
4. Examine what impact ethical or unethical leadership has on functional or dysfunctional follower behavior
5. Create an ethical leadership model, which distinguishes between the benefits and consequences of ethical and unethical behavior
6. Explain how a leader's influence and organizational culture affect the ethical climate of an agency

**B. Define Ethics**

1. Being in accordance with the rules and standards for right conduct or practice
  - a. Standards of profession

**C. Ethics and Leadership**

1. What is right and worthwhile
  - a. Goals and purpose
  - b. Ends/means relationship
  - c. Leader/follower relationship
2. Mission statements
3. Clearly defined principles of service
  - a. High quality service
  - b. Empowerment
  - c. Protection of Constitutional rights
  - d. Integrity
  - e. Diversity
  - f. Teamwork

**g.** Leadership

**h.** Commitment to employees

**D.** Ethical Dimensions

1. Dispersed throughout the organization
- 3.** Leader sets goals, protects the basic mission, influences others, designs structure
- 4.** Leader models the appropriate behavior, setting example for the group
- 5.** Leader affects attitudes and behaviors of group members

**E.** Leadership

1. Observational learning
2. Feedback
3. Discipline
4. Consistency
  - a. Consistent
  - b. without self-interest
  - c. On the basis of accurate data
  - d. With the opportunity to correct the decision
  - e. With the interest of all concerned parties represented
  - f. Following moral and ethical standards

**G.** Organizational rewards and adverse

1. Leaders have power to reward or sanction followers for acceptable/unacceptable behavior
2. Behavior can be shaped by direct experience or observational learning
3. Impact of failing to confront ethical issues
4. Proper planning and delivery of organizational rewards

**H.** Communication

1. Directives
2. Policies
3. Socialization

**I.** Organizational Climate and Ethical Choices

1. Completing responsibilities
  - a. Unrealistic Deadlines
  - b. Insufficient resources
  - c. Can result in pressure to cut corners or violate the laws and values to get the job done
2. Effect of completion
  - a. Can increase performance
  - b. Extreme competition may lead to compromise of ethical standards
3. Group norms
  - a. Formal
  - b. Informal

**I. Ethics and Leadership (Followers' Perspectives)**

1. Followers' Expectations
  - a. Honesty
  - b. Competence
  - c. Vision
  - d. Inspiration
  - e. All four equal credibility
2. Follower Responses to Credible Leaders
  - a. Loyal and committed
  - b. Internally motivated
  - c. Proud of organization
  - d. Feel empowered and supported
3. Follower Responses to Non-Credible Leaders
  - a. Uncommitted
  - b. Inclined to leave
  - c. Externally motivated (self-interest/financial)
  - d. Insecure and anxious

**J. Organizational Dimensions/ Review**

1. Behavioral influences
  - a. clear guidelines as to what is ethical and unethical (supported by group norms)
  - b. Vision, core values, mission statements, philosophy, guiding principles, and policies and procedures
2. Monitor stress and competition
  - a. Employees should not be pushed to ethical breaking point
  - b. Stress in workplace caused by personal problems, e.g. finances, substance abuse
3. Reward ethical behavior and take action when unethical behavior surfaces
  - a. Move swiftly and publicly to renounce deviations from ethical conduct
  - b. Enthusiastically congratulate those who make appropriate ethical decisions

## **XVIII. Conflict Management**

### **A. Learning Objectives**

1. Understand and analyze different levels of conflict within organizations
2. Apply available leader conflict management strategies
3. Discuss the elements of "crucial conversations" and apply appropriate leader strategies
4. Identify and apply leader actions to manage difficult personalities and their systems of power

### **B. Types of Conflict**

1. Functional
2. Dysfunctional

### **C. Definition of Conflict**

1. Disagreements in social situations over issues of substance
2. Emotional antagonisms creating friction between individuals or groups

**D. Emotional Intelligence**

- 1. Understand self**
  - a.** How often do I make assumptions?
  - b.** What kind of listener am I
  - c.** What is my self-talk like?
  - d.** How broad are my views?
- 2. Govern self**
  - a.** Self-regulation
  - b.** Emotional self-control
  - c.** Keep disruptive emotions in check
- 3. Understand others**
- 4. Manage relationships with others**

**E. Influence**

- 1. Impact on others**
- 2. Negotiating to resolve conflict**
- 3. Teamwork/collaboration toward a common goal**

**F. Conflict Management Style**

- 1. Appeasement**
- 2. Compromise**
- 3. Collaboration**
- 4. Avoidance**
- 5. Competition**

**G. Crucial Conversations (Kerry Patterson)**

1. Stakes high
2. Opinions vary
3. Emotions run

H. Brain

1. Fight or Flight
2. Emotion feeling versus rational thinking
3. Triggers – hijacking or when you lose it: immediate reaction, strong emotion, subsequent feeling of remorse

I. Dialogue

1. Define: (what it is and what it is not)
2. “Pool of shared meaning” How do I get there?
  - a. Silence or violence
  - b. See/hear something, tell self a story, feel emotionally, act
3. Creating a safe environment
  - a. Apologize when appropriate
  - b. Contrast to fix misunderstandings

J. Strategies for a crucial conversation

1. Share your facts
2. Tell your story
3. Ask for others’ paths Talk tentatively Encourage testing

K. Toxic Personalities

1. Definition: anyone who demonstrates a pattern of counterproductive work behaviors that debilitate individuals, teams, and even organizations over the long term
  - a. They are a part of a complex system that can be a source of power
2. Managing toxic people (cynics, etc.)
  - a. Create norms that prevent the growth or re-growth of toxic environments
3. How do they survive?

**4. Prevention**

**a.** Build a stronger organization

**b.** Give targeted feedback

(Consistent follow through: meaningful behavior-specific performance evaluation)

**XIX. Followership and Leadership for  
Organizational Effectiveness**

**A. Learning Objectives**

**1.** Define and understand the concepts of followership

2. Analyze and demonstrate through classroom activities the dynamic of “influence” relationships between leaders and followers
3. Examine the effects of follower styles on leadership and the organization
4. Evaluate leader strategies that can impact a follower’s style with the goal of improving the motivation, performance, and satisfaction of the follower
5. Explain how followers become leaders by leading up
6. Given learning activities (video clips, case studies), the student will be able to recognize and choose leader actions that help to develop followers into leaders

**B. Followership Issue Questions**

1. Are bad followers created by bad leaders?
2. How can I lead if I am a follower?
3. Can followership skills be developed?
4. Do I have to be a good follower in order to be a good leader?

**C. Definition**

1. Role of followers in a leadership process
  - a. Committing and working cooperatively with other followers and leaders to achieve shared goals by harmonizing individual roles and goals with the larger vision of the group
    - 1) Organization
    - 2) Community
    - 3) Society
  - b. “People who know what to do without being told – the people who act with intelligence, independence, courage, and a strong sense of ethics”
  - c. “Followership and leadership are two separate concepts, two separate roles. They are complementary, not competitive paths to organizational contribution” — Robert Kelly, 1992
2. Followership Facts
  - a. Effective followers are critical for leader and organizational success

b. The leader's effect on organizational success is only 10-20%

c. Followership is the real "people" factor in the other 80-90% that makes for great success

d. Most leaders spend about 70-90% of their time in the followership role

e. Effective followers at their best

1) Demonstrate competence in tasks important to the organization

2) Participate with enthusiasm, intelligence, and self-reliance without "star" billing

3) Work consistently in pursuit of organizational goals

4) Sacrifice rewards like status, money, and fame in order to be true to themselves and find their own meaning in life

3. Leader/ Follower

a. Quality

1) Innovative

2) Develops others

3) Focused on people

4) Inspires trust

5) Maintains a long-term view

6) Challenges status quo

7) Does right thing

8) Encourages dissent

b. Exemplary

1) Displays Initiative

2) Develops relationships

3) Is a Team player

4) Understands big picture

5) Is Goal oriented

- 6) Demonstrates a courageous conscience
- 7) Is an informal leader

**D. Followership Styles (Robert Kelly, 1992)** Students will have taken the followership survey in order to have an understanding of the discussions that follow.

- 1. Alienated follower causes**
  - a. Unmet expectations
  - b. Broken trust
  - c. Leader actions that mismanaged follower
  - d. Despite high performance, no recognition
  - e. Organizational loyalty
- 2. Conformist follower causes**
  - a. Freedom causes too many choices and too much uncertainty
  - b. Desires structure, order, and predictability
  - c. Task of creating own environment is overwhelming
  - d. Some environments encourage conformity
  - e. Domineering leaders seeking power encourage conformists
- 3. Pragmatist follower causes**
  - a. Some leaders attribute causes to personality
    - 1) Lazy
    - 2) Incompetent
    - 3) Unmotivated
  - b. May not have developed their followership skills
  - c. May be a response to leader actions
    - 1) Controlling behavior
    - 2) Use of fear to keep follower in line
    - 3) Leader assigns goals, makes all decisions
    - 4) Micro-managed
    - 5) Leader uses persistent prodding
- 4. Exemplary Followers**

- a. Repertoire of skills and values that are learnable and doable
  - 1) Job skills are focused and committed
- b. Competence in critical path activities (tasks important to the organization)
- c. Initiative in increasing their value to the organization through personal contributions
  - 1) Organizational skills – nurture and leverage a web of relationships
    - a) Team members
    - b) Organizational networks
    - c) Leaders
  - 2) Values component – how they exercise a courageous conscience which guides their job activities and organizational relationship

E. Video clips from *Band of Brothers*

1. Concerns over Lt. Dyke's command and competence
2. First Sgt.'s actions when he hears a group of sergeants "singing Dykes praises"
3. After an artillery barrage on their position, Dyke's courage is questioned by one of the men who is adept at doing imitations
4. Sgt. Lipton's conversation with another lieutenant regarding the Lt. Dyke's absence. Followers enter the discussion. (Transition of roles)
5. As the company prepares for an assault on a fortified enemy position, Lipton feels the necessity to report his concerns regarding Lt. Dyke's competency to Captain Winters. Which component of the exemplary follower does this exemplify?
6. The assault at Foy almost turns into a disastrous defeat as a result of Dyke's leadership. Dyke is replaced during the battle by Lt. Spears. Rumors have circulated that Spears once executed a group of enemy prisoners. Lt. Spears and Sgt. Lipton discuss this rumor and Spears' leadership of the company

F. Developing

1. Identify followers for development
  - a. Look for exemplary follower traits
2. Coach followers one on one
  - a. Engage in a dialogue on upward leadership and ask them to do the same with their associates
3. Create development programs

- a. Based on organizational needs, linked to mission, vision, and values
- 4. Focus followers on upward experience
  - a. Historical examples organizationally
- 5. Set examples for all
  - a. Behave as though upward leadership seems natural, demonstrate courage in being corrected, courage to buck system, and get the attention of those who can set things

G. Follower Skills Issue

1. How good are your follower skills?
2. Are you a person who steps forward?
3. Does it really please your leaders to have you on board?
4. Are you a team member or an individual?
5. Do you criticize your leader's shortcomings or offer support when needed?
6. Are you willing to move from your current status?