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Key Ethical Leadership Characteristics of State Police Promotional Candidates in the South

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Walden University
2020

Abstract

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South

by

David Hay

MPhil, Walden University, 2020

MS, Grand Canyon University, 2014

BA, Berea College, 1993

Dissertation Submitted in Partial Fulfillment

of the Requirements for the Degree of

Doctor of Philosophy

Criminal Justice

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Abstract

Public officials, researchers, and practitioners agree police organizations need the proper tools to foster a stronger sense of ethical leadership to more effectively conduct police operations and work with communities. However, few researchers have investigated ethical leadership characteristics for police supervisors, and no research has been conducted to identify desired ethical leadership characteristics for state police supervisors in the southern United States. The purpose of this qualitative Delphi study was to determine the degrees of consensus and support of identified key ethical leadership characteristics for state police promotional candidates in the southern United States, using the theoretical framework of transformational leadership. A purposeful sample was taken from the population of 16 command staff members with the most direct oversight of their agency's promotional process from the southern United States, which resulted in 3 participants for this study. Data were analyzed by descriptive statistics and Kendall's W. Results in the 3-round study within the 4 tenets of transformational leadership identified 9 key ethical leadership characteristics as highly supported and ranked very important: integrity, honesty, ethical, empowering, inclusive, curiosity, open-minded, challenging the status quo, and empowering others. The study findings indicate the necessity of aligning ethical leadership police training and educational opportunities with identified key ethical leadership characteristics. Moreover, increased alignment of ethical leadership characteristics within police promotional processes may enhance the lives of police officers and facilitate greater service to the public, which may lead to more public support for the police, and ultimately enhance safety within communities.

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Dedication

In memory of my parents, Clyde and Ruby Hay for all their love and support,

which provided me opportunities to reach multiple goals in my life.

Acknowledgments

I am so thankful to have completed this dissertation. First, I want to acknowledge God and His enduring grace, provision, and love, which have allowed me to reach this milestone, overcoming multiple barriers on the journey.

I thank my chairperson, Dr. Ernesto Escobedo, my committee member, Dr. Michael Knight, and my URR, Dr. Tony Gaskew for their time, effort, and energy in guiding my work. Thank you for your encouragement and helping me think through the process. I was fortunate to have a great committee.

To my family, thank you for your understanding and support through this doctoral journey. Each of you have supported and inspired me in your own way. I hope I am providing an adequate example to my children, Nick and Kayci, that putting Christ first in life, hard work, and perseverance provide a great sense of accomplishment and reward that may not be measured during one's lifetime.

My heartfelt thanks go to the chief law enforcement executives who agreed to cooperate with my research proposal, and the participants, who selflessly serve their agencies, employees, and the public every day. To my pilot-study and study participants: Taking time out of your busy lives and schedules during the COVID-19 global pandemic has been a great blessing to me and my family. Without you, this study would not have been possible. I hope this study, and my future research efforts may be helpful to you as you continue to provide ethical leadership to your agencies and communities. God bless you!

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Chapter 1: Introduction to the Study

Introduction

Within hours of Officer Darren Wilson using deadly force during an encounter with Michael Brown on August 9, 2014, people across the United States reacted on social media, and the national news media began continual coverage of the incident. Reports of racism, police use of excessive force, and murder of an African American teenager with the popular slogan of "hands up don't shoot" dominated headlines as riots erupted in the Ferguson community in the days following the shooting. The official Department of Justice Investigation regarding the use of deadly force against Michael Brown released on March 4, 2015, outlined the following: Officer Darren Wilson's use of deadly force was not unreasonable; the use of force against Michael Brown did not violate Brown's constitutional rights; and "hands up don't shoot" was not supported by evidence and could not be validated (Department of Justice, 2015b). However, the Department of Justice investigation of the Ferguson Police Department was less than favorable. The Ferguson Police Department was deemed to have engaged in patterns of unconstitutional vehicle stops, arrests in violation of citizens' Fourth Amendment rights, patterns of First Amendment rights violations, and patterns of excessive force in violation of the Fourth Amendment (Department of Justice, 2015a). With the history of unlawful and unethical behavior of officers within the police department toward the citizens of Ferguson, the initial reports of police excessive force concerning Michael Brown became much clearer, because it was easy for citizens to believe a police department known to act unethically, and illegally, continued to do so during the encounter with Michael Brown.

Background of the Study

Although incidents of police corruption are statistically low, the influence of police misconduct is high (Department of Justice, 2015a; Stinson, Liederbach, Lab & Brewer, 2016), which may be partially understood through cognitive bias of accepting an initial judgement based on one's own previous experiences without knowing specific facts, which is known in psychology as anchoring (Weiten, 2008). An unethical action in one police department in the United States no longer only affects the immediate jurisdiction. Every police officer and police department in the nation may face backlash from citizens for police misconduct thousands of miles away, which may facilitate changes in citizen behavior or perception. Evidence of unethical and illegal conduct of sworn law enforcement officers has been documented in the 6,724 individual arrests of law enforcement officers in the United States during the years of 2005 through 2011, which affected 2529 nonfederal state and local law enforcement agencies, in all 50 states, and the District of Columbia, indicating a national problem of ethics in policing (Stinson et al., 2016). Police misconduct has historical and cultural ties, which have been barriers since the earliest days of professional policing in the United States (Gaines & Kappeler, 2015; Reith 1952/ 1975).

Police officers as a group have become the targets of hate based on perceived officer misconduct. Police officers in Dallas, TX, and Baton Rouge, LA, were directly assaulted in 2016, resulting in five officers being killed in Dallas, and three officers killed in Baton Rouge, by citizens who negatively reacted to police involved shootings of African American males. Certainly, policing in the United States is a multifaceted,

complex issue involving diverse stakeholders, interests, and goals, but one of the central questions that remain is: What actions may be taken to facilitate ethical conduct among the police to facilitate stronger partnerships with the community?

Two U.S. Presidents, divided by politics, but united as Americans, collectively called for the proper tools and values to enhance relationships between the police and communities. During the Dallas Police Officer Memorial Service on July 12, 2016, former President George W. Bush remarked:

> Too often we judge others groups by their worst examples while judging ourselves by our best intentions…. And this has strained our bonds of understanding and common purpose. But Americans, I think, have a great advantage. To renew our unity, we only need to remember our values. (Higgins, 2016, p. 1).

One-week later, then-President Barack Obama penned a letter to the nation's law enforcement community, which in part he wrote:

> As you continue to serve us in this tumultuous hour, we recognize that we can no longer ask you to solve issues we refuse to address as a society. We should give you the resources you need to do your job, including our full-throated support. We must give you the tools you need to build and strengthen the bonds of trust with those you serve, and our best efforts to address the underlying challenges that contribute to crime and unrest. (Somanader, 2016, p. 1).

In addition, a rising body of experts, researchers, and practitioners agree police organizations need the tools to foster a stronger sense of ethical leadership, and values

across the United States to more effectively conduct police operations and work with communities (Barker, 2017; Haberfeld, 2013; Hanson & Baker, 2017; Police Executive Research Forum, 2016; Police Executive Research Forum, 2018). Moreover, working toward a more effective ethical leadership strategy is consistent with deontological principles, procedural justice, and police legitimacy, which are needed to foster good-will within U.S. communities (Barker, 2017; Catlin & Maupin, 2004).

Problem Statement

The general problem I addressed in this study is even though police departments want to promote ethical officers to greater leadership positions, no method has been identified in the research literature which focuses on the promotion of ethical police officers (Barker, 2017; Hanson & Baker, 2017). The gap in research of ethical leadership criteria for police promotional candidates results in officers being promoted with unknown or unproven character attributes (Barker, 2017; Hanson & Baker, 2017; Poitras, 2017). Moreover, the lack of applied knowledge and criteria concerning ethical leadership in police promotional processes is occurring at a time when the continued unethical conduct of police officers is negatively affecting the police profession (Stinson, Liederbach, Lab, & Brewer, 2016), and ethical leadership will be needed to face growing challenges in modern policing (Barker, 2017, Haberfeld, 2013; Police Executive Research Forum, 2018).

Although some members from state police command staffs do get together at various conferences and trainings, finding an opportunity to engage with command staff members from various states at the same time for research purposes is a difficult

proposition and traveling to multiple states is cost prohibitive. One method offered by the literature for gathering expert opinions regarding key ethical leadership traits is the Delphi method. As defined by Linstone and Turoff (1975), the Delphi technique is "a method for structuring a group communication process so that the process is effective in allowing a group of individuals, as a whole, to deal with a complex problem" (p. 3). The Delphi technique provides a means to obtain consensus of experts whom remain anonymous to each other through a series of questionnaires, while providing feedback, and allowing an opportunity for participants to adjust decisions, while not allowing direct confrontation between experts (Habibi, Sarafrazi, & Sedigheh, 2014; Okoli & Pawlowski, 2004). Not allowing direct confrontation keeps any one voice from dominating through the controlled feedback of the researcher, and anonymity provides the participants security from judgement from a peer group (Okoli & Pawlowski, 2004)

Research in rural policing is sparse compared with urban policing, in part, due to the biased belief urban police research may be generalized to rural policing (Contessa & Wozniak, 2018). In addition, rural police agencies make-up the overwhelming majority of police departments in the United States, often have less direct supervision, and do not enjoy the funding levels of larger police departments (Contessa & Wozniak, 2018; National Police Foundation, 2020; Pelfrey, 2007). Although the research undertaken in urban areas may provide ease of access, a greater number of likely participants, and be cost effective, which are all considerations in research (Ravitch & Carl, 2016), rural policing research has been relegated to a diminutive role (Contessa & Wozniak, 2018; National Police Foundation, 2020; Pelfrey, 2007). Ethical leadership in rural police

agencies is arguably more important than in urban areas, in part, due to the lack of contact a patrol officer will have with a supervisor. Although some county deputies or state police officers may see a supervisor during a shift, other deputies and state police officers assigned to county patrol may not physically see a supervisor in weeks due to the rural nature and hours of work assignments.

Researchers are calling for further examination into rural policing practices (Contessa & Wozniak, 2018; Pelfrey, 2007; Skaggs & Sun, 2017) as rural research remains underdeveloped. Moreover, the South makes up an estimated 38% of the U.S. population (www.worldpopulationreview.com), and more officers are killed in the line-of-duty in the southern United States than any other region in the United States (Federal Bureau of Investigation, 2019). Both the citizen population of the southern United States and the danger to police officers are practical policing concerns which warrant more research attention than previously seen for the region.

As seen in Figure 1, according to the U.S. Census Bureau (n.d.), the South, is defined as 16 states: Alabama, Arkansas, Delaware, Florida, Georgia, Kentucky, Louisiana, Maryland, Mississippi, North Carolina, Oklahoma, South Carolina, Tennessee, Texas, Virginia, and West Virginia.
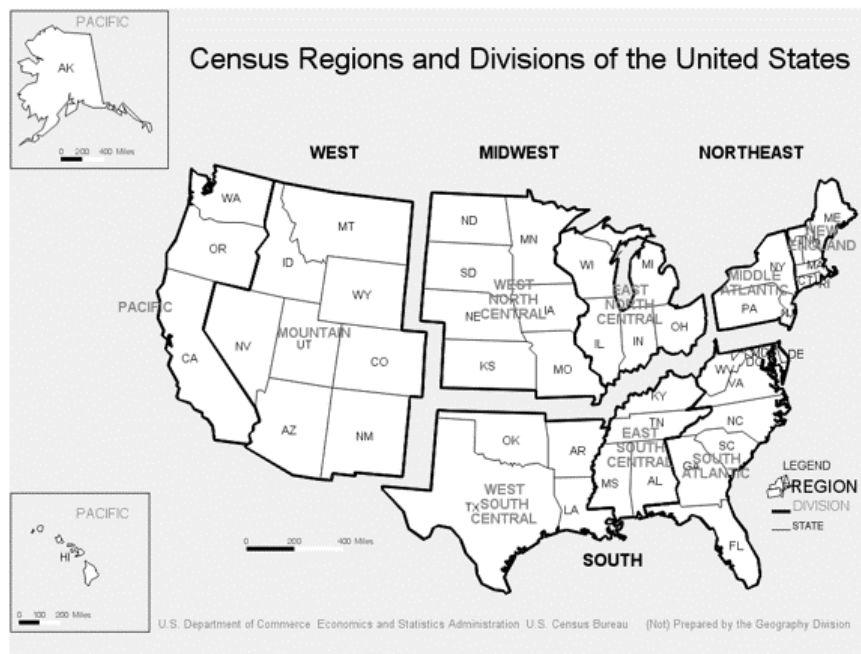
Figure 1. Census regions and divisions of the United States.

Accordingly, rural policing research in the South may allow small rural agencies to benefit from larger rural police agency research concerning ethical leadership, due to multiple smaller departments becoming defunct, some due to corruption and officer misconduct (Brunet, 2015). Moreover, this inquiry may further signal the importance of rural police research to other researches, as continued investigation will provide more evidence-based practices and tools for rural police agencies, which may positively influence public perception and bring about positive social change. The importance of the research into determining the key ethical characteristics of state police promotional candidates has two distinct pieces. First, practitioners have a direct opportunity to participate in practical research, which may be put to use within their own agencies. The research will focus attention on a limited number of characteristics desired in promoting officers, potentially saving time, energy, and dwindling resources. Second, the research

will be answering the call for further investigation into police promotion (Barker, 2017; Hanson & Baker, 2017), the role of leadership (Forsyth & Maranga, 2018; Marques, 2015), and rural policing (Contessa & Wozniak, 2018; Skaggs & Sun, 2017).

Purpose of the Study

The purpose of this qualitative Delphi study was to identify key ethical leadership characteristics of state police promotional candidates in the South from the perspective of the command staff person directly overseeing the agency promotional process in 2020. By completing this study, I added to the literature on ethical leadership, which may be considered as police agencies seek to advance ethical behavior in rural law enforcement agencies in the South.

Research Questions

RQ1: What is the degree of consensus of key ethical leadership characteristics for state police promotional candidates in the South from the perspective of command staff members with the most direct oversight of the police promotional process?

RQ2: What is the degree of consensus of participating command staff members supporting the incorporation of identified key ethical leadership characteristics into future agency police promotional processes?

These research questions focused on identifying the level of consensus of key ethical leadership characteristics among state police command staff members in the South. In addition, I was interested in determining the level of consensus of support to incorporate the identified key ethical leadership characteristics into the promotional process. Through the identification and consensus of key ethical leadership

characteristics, state and rural police agencies in the South have the opportunity to more strongly facilitate ethical leadership in their departments in the 21st century.

Theoretical Framework

The theoretical framework that anchored this study was transformational leadership theory. Transformational leadership may be described as a leadership style in which the leader seeks to move followers' interests toward achievement and self-actualization, thus moving followers from self-interest to concerns for their groups and society (Burns, 1978). As illustrated in Figure 1, and proposed by Bass and Riggio (2006), the components of transformational leadership for this study included (a) idealized influence; (b) inspirational motivation; (c) individualized consideration; and (d) intellectual stimulation.
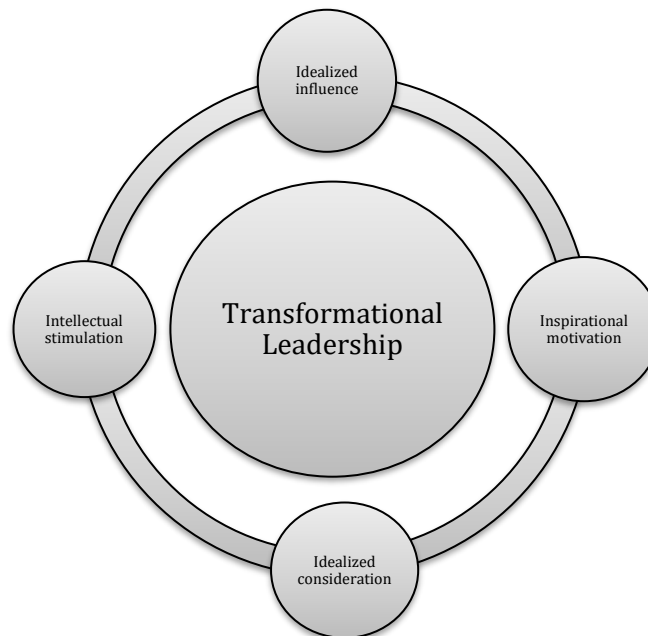
Figure 2. Components of transformational leadership. Adapted from Bass and Riggio (2006).

Burns (1978) first introduced the concept of transformational leadership, partially inspired by Maslow's hierarchy of needs, as a relationship between leaders and followers, elevating followers into leaders, and promoting moral ideals within leaders. Burns linked transformational leadership to a collective purpose of social change based upon recognizing and satisfying the higher needs of followers and engaging the whole person. Bass (2008) further expanded the moral requirement by differentiating between transformational Leadership and pseudotransformational leadership, where transformational leadership required moral ideals within leaders. Moreover, Bass and Riggio (2006) proposed the current iteration of the four major tenets of transformational leadership which are part of this study and include (a) idealized influence; (b) inspirational motivation; (c) individualized consideration; and (d) intellectual stimulation.

Transformational leadership was an appropriate theoretical framework for this study due to a wide range of studies noting the influence of transformational leadership and employee performance (Bass, 2008; Bass & Riggio, 2006; Indrayanto, Burgess, & Dayaram, 2013), and partially based on Maslow's hierarchy of needs (Burns, 1978; Bass, 1985, Northouse, 2019). In addition, the use of transformational leadership as a theoretical framework allowed participating experts to focus on ethical leadership characteristics in the context of idealized influence, inspirational motivation, individualized consideration, and intellectual stimulation, which provided police leadership a familiar concept that may more easily fit into future operations (Kubala, 2013).

Nature of the Study

I conducted this qualitative study using a Delphi approach, which provided consensus of the key ethical leadership characteristics of state police promotional candidates in the South from the perspective of the command staff member with direct oversight of the agency promotional process. The expert panel was solicited from all 16 state police agencies in the South. A Delphi approach was consistent with the purpose of the study to solicit capable experts who were dispersed, where data was difficult to obtain due to lack of cost-effective methods and lack of anonymity, while attempting to solve a complex problem (Habibi et al., 2014; Linstone & Turoff, 1975). With only 16 persons meeting the criteria for selection, there were a limited suitable number of participants.

Definitions

Command staff members: Persons on the state police commissioner's/ superintendent's executive staff, usually holding the rank, or rank equivalent of chief, major or lieutenant colonel.

Ethical leadership: A multidimensional concept, which has a broad range of values and behaviors, expressed as socialized virtues with the intention of being helpful to others (Bass, 2008; Rathore & Singh, 2018; Yukl, Mahsud, Hassan, & Prussia, 2013).

Ethical leadership characteristics: Qualities of a person able to be observed through behavior, which express socialized virtues with helpful intentions (Bass, 2008; Rathore & Singh, 2018; Yukl, Mahsud, Hassan, & Prussia, 2013).

Police legitimacy: The public's perception of the police officers'/departments' quality of decision making and quality of treatment being fair, respectful, and courteous

during interactions with citizens, which allows citizens to participate in decision-making processes and influences citizen obligation to obey the law (Ferdik, Wolfe, & Blasco, 2014; Moule, Parry, Burruss, & Fox, 2019).

Procedural justice: The concept of the fairness of rules and the procedures by which reward (or punishment) are distributed (Alexander & Ruderman, 1987).

State police promotional candidates: Sworn personnel who are eligible and testing for promotion to supervisory ranks within the state police.

Assumptions

This study was based on the following five assumptions: (a) participants would answer the questionnaires voluntarily and honestly, and have the opportunity to adjust responses based on feedback between the rounds of the Delphi study; (b) this study would provide consensus of a list of key ethical leadership characteristics of state police promotional candidates from the perspective of the command staff member with the most direct oversight over their agency promotional process; (c) this study would contribute to leadership theory; (d) this study may provide a pathway toward practical law enforcement training and educational components to address past ethical failures of law enforcement supervision; and (e) this study may be used to inform choices regarding promotional material updates, revisions, and may be seen as a source providing research-based support for character attribute evaluation of future promotional candidates.

Scope and Delimitations

The scope of this study was to identify key ethical leadership characteristics (key ethical leadership characteristics) of state police promotional candidates in the South. The

consensus of the literature indicated not researching ethical leadership with state police promotional systems in the South would miss key opportunities to address: officer misconduct (Stinson, Liederbach, Lab, & Brewer, 2016), establishing ethical norms supported by leadership (Haberfeld, 2013, Hanson & Baker, 2017), communicating clearly to the entire organization leaders expect ethical behavior and working to enhance ethical leadership through the promotional process (Babalola, Stouten, Camps, & Euwema, 2019; Barker, 2017), and providing an opportunity for officers' psychological growth in ethical behavior (Haberfeld, 2013; Yu-Chi, 2017), while advancing a 21st century model of ethical police behavior, which is expected to facilitate trust in communities (Barker, 2017).

The delimitations for this study included the population of interest, which were state police command staff members in the South, whom had the most direct oversight of their agency promotional process. The study did not include any state police agencies not considered as part of the South according to the U.S. Census Bureau, or any nonstate police agencies, such as sheriff's deputies, or rural city police departments. In addition, the study was only interested in a limited population of command staff members with direct oversight of the state police promotion process, which were 16 people.

Limitations

The limitations of the study included the possibility that other experts who may occupy the position of the command staff member with direct oversight over their agency promotional process in the future, or in the past, would have had differing expert opinions. An advantage of the Delphi method, by using the collective opinions of experts,

provided averages for a group, was superior to individual responses, thereby limiting the impact of individual responses on the data (Okoli & Pawlowski, 2004). The research may not be transferable to rural police agencies outside of the southern region of the United States without evaluation (Lincoln & Guba, 1985; Ravitch & Carl, 2016), as the participants were basing their expert opinions on individual perspectives as executive leaders in state police agencies within the South.

Significance

I conducted this research to address a gap in the literature of the understanding of key ethical leadership characteristics of state police promotional candidates in the South, which provided a means to further facilitate ethical leadership within state and rural police organizations. Although executive leadership is in a position of authority, has usually promoted through the ranks, and sees the need of the agency, no research had previously investigated what key ethical leadership characteristics were desired from the perspective of executive leaders with the most direct oversight of the agency promotional process. This study may be useful to inform choices regarding promotional material updates, revisions, and may be seen as a source providing research-based support for character attribute evaluation of future promotional candidates.

Positive social change is possible through consideration of ethical leadership based training and educational opportunities to align with key ethical characteristics that may be a fundamental factor in enhancing the lives of members of police agencies. Ultimately, this research may provide a means to facilitate greater service to the public,

and more public support for the police in an attempt to enhance safety within communities.

Summary

The purpose of this study was to identify the key ethical leadership characteristics of state police promotional candidates in the South from the perspective of the command staff member with the most direct oversight of the police promotional process. Due to only 16 command staff members qualifying as having the most direct oversight over their agency promotional process in the South, I attempted to solicit all 16 command staff members for the Delphi study. A transformational leadership theoretical framework provided a familiar lens for command staff members, and allowed those experts to focus responses in the context of idealized influence, inspirational motivation, individualized consideration, and intellectual stimulation as conceptualized by Bass and Riggio (2006).

In Chapter 2, I will provide a review of the origins of leadership/leadership theory, how policing became established in the world, and later focus on policing in the United States. Moreover, the origins and dynamics of policing in the South, and development of police promotional boards will be discussed. In Chapter 2, I also address the gap in the literature and the need to conduct this qualitative Delphi study.

Chapter 2: Literature Review

Introduction

There is little research literature to identify desired characteristics desired for police promotional candidates (Barker, 2017; Hanson & Baker, 2017). Although state police officers in the South patrol a geographical area with 38% of the U.S. population (www.worldpopulationreview.com), little research has been undertaken to address rural law enforcement concerns (Contessa & Wozniak, 2018; Pelfrey, 2007), or police supervisory perceptions (Engel & Worden, 2003; Espinoza, 2016; Nix, 2017). Simultaneously, the literature emphasized the need for continued practical reforms related to ethics in policing in the South and elsewhere (Durr, 2015; Nix, 2017; Stoughton, 2016; Thomas, 2019). Despite the continued need to address ethical leadership in police supervision, no previous studies identified key ethical leadership characteristics of police supervisors. In this study, I made an original contribution to the literature by investigating what key ethical characteristics are desired of promotional candidates from the perspective of police command staff personnel with the most direct supervision over the police promotional process. Completing this study not only informed leadership theory, but also provided a pathway for police agencies to consider toward practical law enforcement training and educational components to address past ethical failures of law enforcement supervision. In addition, this study may be used to inform choices regarding promotional material updates, revisions, and may be seen as a source providing research-based support for character attribute evaluation of future promotional candidates in the South.

Literature Search Strategy

I used a number of library databases containing criminal justice, law enforcement,

policing, and leadership, along with various search engines, videos, and professional

organization publications, for background research for this dissertation. Library databases

that I searched in the Walden University Library included Dissertations & Theses at

Walden University, Google Books, Military and Government Collection, ProQuest

Central, ProQuest Dissertation & Theses Global, SAGE Journals, and Thoreau. Search

engines that I used included Google, Google Scholar, and Bing. Videos were from

YouTube, and professional organization publications and websites including The Police

Executive Research Forum (PERF), and the National State Troopers Association

(NSTA). I also reviewed and used multiple government reports, including reports and

press releases from England, the State of New York, the Federal Bureau of Investigation,

and the Department of Justice.

Key Search Terms and Combinations

Key search terms and combinations of search terms included *law enforcement,*

law enforcement history, law enforcement and leadership, history of leadership,

leadership characteristics, leadership development, leadership traits, police, police-

boards, police corruption, police leadership, police and promotion, policing in the South,

rural law enforcement, and *transformational leadership.*

During the research process, I reviewed multiple databases, relying primarily on

published articles since 2014, along with seminal works, and relevant older research

articles. I referenced professional criminal justice organization publications and relevant

YouTube videos in an attempt to provide proper breadth and depth on the subject matter,

appropriate for a qualitative Delphi study.

Theoretical Foundation

I contextualized this dissertation within the theoretical framework of

transformational leadership theory (Bass & Riggio, 2006). Burns (1978) first introduced

the concept of transformational leadership, partially inspired by Maslow's hierarchy of

needs, and defined transformational leadership as a relationship between leaders and

followers, elevating followers into leaders, and promoting moral ideals within leaders. A

distinction was drawn between transactional leadership and transformational leadership,

whereby transactional leadership was limited to a social exchange (Burns 1978/2012;

Bass &Riggio, 2006). Burns linked transformational leadership to a collective purpose of

social change based upon recognizing and satisfying the higher needs of followers and

engaging the whole person.

Bass generally agreed with Burns's definition; however, Bass expanded the

definition by requiring a moral component and focused more on the needs of followers

than leaders (Bass, 1985; Bass, 2008; Northouse, 2019), which differentiated between

authentic transformational leadership and pseudotransformational leadership, where

authentic transformational leadership required moral ideals within leaders (Bass, 1985;

Bass & Riggio, 2006). Moreover, Bass (1985) proposed four major tenets of

transformational leadership which originally included (a) charisma; (b) inspirational

leadership; (c) individualized consideration; and (d) intellectual stimulation. The current

iteration of transformational leadership replaced charisma with idealized influence and

inspirational leadership with inspirational motivation (Bass & Riggio, 2006). Therefore, I used Bass and Riggio's definition and current iteration of the tenets of transformational leadership emphasizing the moral requirement of leaders regarding idealized influence, inspirational motivation, individualized consideration, and intellectual stimulation. In addition, Walz (2019) noted the following brief synthesized conceptualizations, which may assist in thinking about the four tenets of transformational leadership, which included role model for idealized influence, charisma for inspirational motivation, personal attention for individual consideration, and challenges one's thinking for intellectual stimulation.

Transformational leadership has strengths, which are positive and suitably adaptive for organizations, which include transformational leadership being widely researched, intuitive appeal (vision, and advocating change for others), considered a process between leaders and followers, and provides a broader view of leadership, where leaders are concerned with the needs and growth of followers (Burns, 1978; Bass, 1985; Northouse, 2019). These strengths along with an inherent ethical quality provided a positive fit for police organizations (Burns, 1978; Bass, 2008; Haberfeld, 2013), and were noted as a desirable by police supervision in the South, especially women and African American police supervisors (Andreescu & Vito, 2010). Moreover, Kubala (2013) noted rural police chiefs believed in, and reported transformational leadership practice; however, subordinates believed transformational leadership practices in the agency were lacking, which spoke to the difficulty of implementing transformational leadership within police agencies. Kubala (2013) recommended all police leadership to be trained in

transformational and transactional leadership principles to facilitate transformational leadership within police departments.

Burns (1978) conceptualized transformational leadership, which was theorized to rise above basic physiological and safety needs and contrasted transformational and transactional leadership (exchange of service for reward). Transformational leadership not only sought to satisfy the needs of followers, but was explained as a relationship of mutual stimulation, which converted followers to leaders, with the hope of creating future moral leaders by raising the ethical standards (Burns, 1978). Burns described previous names used for transformational leadership to include "elevating, mobilizing, inspiring, exalting, uplifting, preaching, exhorting, and evangelizing" (p. 20). Bass (1985) noted previous leadership models were dominated by logical positivism and operationalism, which focused on cost-benefit exchanges, were not interested in the development or interaction of leaders-followers, or creative influences. Bass also noted disagreement with Burns on tenets of transformational leadership, as Bass considered more of the needs and desires of followers, and did not initially agree with Burns' argument transformational leadership would not necessarily facilitate moral advancement while benefiting society, or transactional leadership was the antithesis of transformational leadership. Instead, transactional leadership may be seen as simple exchanges in transformational organizations (Bass, 2008).

Leadership

Origins of Leadership/Leadership Theory

After the end of the last ice age approximately 13,000 years ago, leaders played a role in distribution of resources and geographical growth spurred by advances from hunter/gatherer toward agricultural societies (Diamond, 1997/ 2017; Van Vugt, Hogan, & Kaiser, 2008).

Lichtheim (1973) noted during the time of the Egyptian Old Kingdom, between the 25th and 24th century B.C., examples of didactic literature were written for the instruction of the princes, which linked characteristics of quietness, modesty, and being well liked with success for Prince Hardjedef. Instruction for Prince Ptahhotep included maxims on self-control, acting in moderation, being kind, just, and truthful tempered by discretion for all people, exemplifying an ideal role as a man of peace (Lichtheim, 1973).

In the Bible, Jesus represented leadership from the perspective of a servant, intimately knowing people, determining needs, serving people with humility and the highest ethical consideration (Matt 7:12; Mark 10:42-45; Phil 2:3, New King James Version).

Ancient Chinese literature written by Confucius and Lao-tzu from the 6 century B.C. discussed the responsibility and role of leaders, which Confucius counseled to be moral and use punishment and rewards to teach the people between right and wrong (Bass, 2008). Lao-tzu emphasized a support role for leadership, helping people to believe their efforts produced success (Bass, 2008).

Ancient Greek ideals of leadership were expressed in Homer's Iliad which included ruling fairly through listening, and consideration of other's ideas; wisdom (discernment and perception); and valor, and impulsiveness, which is linked to drive (Sarachek, 1968). Socrates included leadership strategies that internalized life experiences, which should be built on knowledge and mentoring, challenging the unsound practices, mentoring, kindness, and collaboration (Tyme, 2012). Plato recommended gaining knowledge, understanding motivations, and nurturing, and Aristotle espoused knowledge, avoiding selfishness, communication, and emotional growth for the betterment of one's people (Tyme, 2012). Plutarch born Greek, and later becoming a Roman citizen wrote *The Lives of the Noble Grecians and Romans,* around 100 A.D., exploring and comparing the moral characteristics of Roman and Greek leaders (Plutarch, Dryden, & Clough, 1932). Romans, such as Caesar, Cicero, and Seneca also wrote extensively on administration and leadership (Bass, 2008).

Bass (2008) noted Machiavelli's *The Prince*, written during the Renaissance in 1513, and Shakespeare's play *Richard II*, written around 1595 are leadership examples, which remain relevant today. *The Prince* outlined the risks and resistance to leadership, which represented the ultimate pragmatist leader's viewpoint concerning power, authority, and order in government, while *Richard II*, provided a cautionary tale to leaders making poor judgements regarding followers (Bass, 2008).

Bass (2008) reported Hegel's 1830, *Philosophy of Mind,* which instructed leaders to first serve as followers, allowing leaders to better understand followers, which remains a fundamental leadership principle at West Point.

Modern Era of Leadership

Leadership in the first half of the 20th century may be viewed through the lenses of great man theory (Carlyle 1895), trait theory (Stodgill 1948), and situational theory (Bass, 2008; Northouse, 2019).

Carlyle (1895) spoke of great men of the times, with traits granted by God, noting part of the human condition was to seek out greatness in men due to the need for heroes among more common men. Galton (1869/2017), in *Hereditary Genius,* reported genealogy studies and subscribed to the great man/ trait theory, believing that prominent families had the proper inherent traits through genetics.

Additional landmark leadership studies in the 20th century to1948 included: the 1920 study of promotional predictions of U.S. Army officers by Kohs and Irle; Freud's work in 1922 concerning group psychology; Weber's introduction of charismatic leadership in 1926; Cox's analysis of leader biographies in 1926; Moreno's sociometry in 1934 (quantitative measurement of psychological interactions between groups); the classification of roles in small groups by Benne and Sheats in 1948; and military leadership assessment in Germany (pre-WWII), Britain (during WWII), and in The United States (post WWII) (Bass, 2008).

Stogdill (1948) conducted a survey of previous leadership literature regarding traits beginning with a study in 1904, by Terman, *A Preliminary Study in The Psychology and Pedagogy of Leadership,* and concluded with leadership research through 1944. Conclusions reached during Stogdill's (1948) review, listed five essential leadership trait classifications: capacity (intelligence, alertness, verbal ability, originality, judgement);

achievement (scholarship, knowledge, athletic accomplishments); responsibility

(dependability, initiative, persistence, aggressiveness, self-confidence, desire to excel);

participation (activity, sociability, cooperation, adaptability, humor); and status (socio-

economic position, popularity). Based on the leadership literature review, Stodgill (1948)

expressed it was likely leadership traits varied due to the situation, and surmised

leadership may be considered a group dynamic with variables in fluctuation, which

resulted in a leadership research paradigm shift away from traits to emphasize the

situation/ group activities (Bass, 2008; Northouse, 2019).

In the 1950s predominate themes were leadership effectiveness, leadership as a

relationship developing shared goals, and group theory (Northouse, 2019).

In the 1960s scholars had a prevailing definition of leadership as a behavior

incorporating shared goals (Northouse, 2019). In addition, Blake and Mouton

conceptualized the leadership managerial grid, one axis measured concern for people, and

the other axis concern for production, with the goal of reaching high levels on both axis

for optimal management (Bass, 2008). Situational leadership by Hersey & Blanchard

developed as a synthesis from Blake and Mouton's managerial grid, Argyris's maturity-

immaturity theory, and the Ohio State leadership study involving structure and

consideration (Bass, 2008).

In the 1970s organizational behavior became a dominate approach in leadership

(Northouse, 2019). Burns (1978) introduction of transformational leadership and

definition of leadership as a reciprocal process, realizing goals independently or mutually

within the relationship of leaders and followers was important in leadership

conceptualization (Northouse, 2019).

By the 1980s trait research within context of the situation had resurged, and by

the late 1990s, leadership had become widely popular and discussed with over 55, 000

leadership books available in the Online Computer Library Center (OCLC) (Bass, 2008).

In 2000, Straw and Epstein researched the effects of sales for five annual periods

for the largest 100 U.S. firms after introducing popular management programs; Quality

Management (TQM), Teamwork, and Employee Empowerment, and although the CEO

benefited from increased salary and bonuses, and the firm's reputations were enhanced,

there was no effect on profitability (Bass, 2008). In 2003, a review of 30 popular business

leadership books from the previous 30 years was conducted by Dickson, BeShears,

Borys, et al., and considered works such as, *The One Minute Manager, The 7 Habits of*

Highly Effective People, and First, Break All the Rules, which were discovered to have

commonalities with current academic research leadership literature, due to some of the

authors having academic backgrounds (Bass, 2008). By 2005, there were over 386,000

leadership citations on Google Scholar and over 18,000 leadership books available in

English, French, and Spanish (Bass, 2008). Continuing to emerge in the 21st century are

authentic leadership (the leader's authenticity), spiritual leadership (values and sense of

calling to motivate followers), servant leadership (focus on follower's needs, assisting

followers to become more autonomous, knowledgeable, and more like servants), adaptive

leadership (encouragement of followers to adapt to confront challenges), followership

(highlighting followers and the role of followers in the leadership process), and

discursive leadership (creation of leadership through communication/ negotiation between leader/ follower) (Bass, 2008; Greenleaf, 1970/2008; Northouse, 2019).

The Current Leadership Discussion

Leadership in the latter half of the 20th century may be viewed through the lenses of leadership effectiveness (Northouse, 2019), shared goals (Northouse, 2019), organizational behavior (Burns, 1978; Northouse, 2019), and the reemergence of trait theory (Bass, 2008).

McCleskey (2014) noted the study of leadership spanned more than 100 years and described situational, transactional, and transformational leadership as seminal leadership theories. From a situational leadership perspective, matching leadership to follower maturity is recommended, and leadership development should focus on strengthening deficiencies of people-oriented and task-oriented leaders (McCleskey, 2014). McCleskey is consistent with Fiedler's contingency theory (1967), matching leaders' orientations to situations, and leaders being able to adjust to situations in dynamic organizations (Bass, 2008; Marques, 2010; Marques, 2015). Moreover, McCleskey (2014) offered the future of leadership involved scholars researching connections between development and efficacy, organizations and outcomes, and leaders and followers within increased theoretical pluralism since the 1990s. Burns (1978), Bass and Riggio (2006) and Northouse (2019) further supported McCleskey's thoughts on leadership development recommending a comprehensive educational process of the whole person in order to enhance moral reasoning and judgement, which is a relationship process between leaders and followers within a transformational leadership model. Transactional leadership, such

as on-the-job training development may be a more natural conceptualization of leadership, and requires far less effort and training for leaders, which may explain why transactional leadership is not well represented in leadership literature (Burns, 1978; Bass 2008; McCleskey, 2014). Bass noted energy, drive, motivation to succeed, and active involvement of leaders with subordinates were correlated with successful leadership and influence, and predicted the continued importance of both traits and situations in leadership. Moreover, Bass suggested the continued importance of context of the situation, where leadership practices such as delegation and management by exception may not be as satisfying to followers outside military/ para-military organizations.

In the 21st century, leadership is seen as more dynamic citing shifting societal values, the realization of interconnectedness, diversity in the workplace, the need to focus on core principles, surrounding oneself with complementary skilled workers, and becoming more broadly aware of issues to foster psychological growth (Marques, 2010), which is consistent with Bass (2008), Burns (1978), and McCluskey's (2014) concepts of the educational process of a whole person. Influence and the power of followers have risen, requiring leaders to be more tolerant, and working to remain aware of developments (Marques 2010; Marques, 2015). In addition, leaders should seek self-reflection, humility, and ideally be in a career, where a leader enjoys the job, which will increase awareness, decrease worker stress, and provide a path for continually aspiring toward an ideal leadership style, which is successful in leading change, instead of seeking outside validation, or focusing on short-term gains (profits over people) (Forsyth & Maranga, 2018; Marques, 2010; Marques, 2015). Moreover, self-reflection, humility,

vision, purpose, passion, and using influence for the good of others highlighted by

Forsyth and Maranga (2018), Marques (2010), and Marques (2015) are consistent with

transformational leadership, authentic leadership, spiritual leadership, and servant

leadership, which continue to be highly researched (Bass, 2008; Spears, 2010; Northouse,

2019).

While Northouse (2019) and Forsyth and Maranga (2018) emphasized leadership

as a process, and not a trait or characteristic within the leader; Akers (2018) and Ma

Regina, Caringal-Go, and Magsaysay (2018) somewhat disagreed, remarking the

development of leadership is crucial, and it is necessary to know desired characteristics

and skills to work toward the end goals of ideal leadership within specific settings.

Furthermore, Nicholas (2016) provided synthesis between the two disagreeing viewpoints

by suggesting as leaders gain more experience, leaders learn to desire appropriate

characteristics for leadership, which is process oriented, indicating both characteristics

and process as important in leadership.

Agreement regarding definitions of leadership across scholars and schools of

thought is inconsistent and possibly hopeless, with scholars only agreeing there is no

common definition of leadership, due to global influences and differences in generational

thought (Bass, 2008; Northouse, 2019). Although there have been multiple ways of

conceptualizing leadership, Northouse (2019) has identified process, influence, group

function, and working toward common goals as components central to leadership

conceptualization for the future. Collectively, researchers are seeking to further

understand the dynamic relationship of leaders and followers in the context of process

and characteristics in given leadership situations (Akers, 2018; Bass, 2008; Burns, 1978;

Forsyth and Maranga, 2018; Ma Regina, Caringal-Go & Magsaysay, 2018; Marques,

2010; Marques, 2015; McCleskey, 2014; Nicholas, 2016; Northouse, 2019).

Policing

Policing in the Ancient World

Gaines and Kappeler (2015) noted the following interrelated themes as necessary

for establishment of formal policing: a formal legal system, social classes, surplus

resources, and a state as a political organization.

In the ancient world, Egyptian dynasties may have been the first governments to

establish a type of policing to enforce social control over the population resulting in the

building of some of the world's greatest structures through slave labor (Gaines &

Kappeler, 2015; Reith, 1952/1975).

After ancient Greece emerged from the Dark Age, between 800-500 B.C., Greece

would eventually have over 150 city-states, with a judicial system relying on tribal kin-

police (Gaines & Kappeler, 2015). However, the tribal system was overwhelmed due to

growth and conflict between social classes, leading to Draco's harsh revised legal system

around 621 B.C. (Gaines & Kappeler, 2015).

When Augustus Caesar consolidated power as emperor in Rome after the

assassination of Julius Caesar in 44 B.C., the first Roman police force, the Praetorian

Guard, was created whose primary function was to protect the emperor from

assassination (Gaines& Kappeler, 2015). Later, Augustus created vigils, a version of fire-

policemen composed entirely of civilians to patrol Rome to prevent fire, and were

eventually given authority to inflict corporal punishment on thieves and robbers, but not

adjudicate serious cases (Reith, 1952/1975). The vigils were armed with swords, but

carried a baton or club as a hand weapon, which may have been the first police armed

with less lethal weapons (Gaines& Kappeler, 2015; Reith, 1952/1975).

In England, in the 16th century changes in agricultural development forced many

of England's poor to move to cities, where overcrowding, poverty, and joblessness

prompted rises in crime and disorder, despite harsh criminal codes (Samaha, 1974).

Despite larger night watches in the 17th century, crime continued to rise, which led to the

Highwayman Act of 1692, allowing citizen arrests of robbers and thieves (Statues of the

Realm, 1692). By 1750, Henry Fielding, a magistrate, established a small group of

constables known as the Bow Street Runners, and were the first officers that focused on

crime prevention instead of being solely reactionary (Gaines & Kappeler, 2015; Grieve,

Harfield, & MacVean, 2007). Fielding's efforts provided the first formalized law

enforcement body, which was the beginning of professional policing, and sought to

reform the harsh treatment of citizens for minor crimes (Gaines & Kappeler, 2015;

Grieve et al., 2007).

During a time of widespread scandal and disorder, and in response to multiple

riots in England, Sir Robert Peel introduced a bill in Parliament, which became known as

the *Metropolitan Police Act* in 1829 (Gaines & Kappeler, 2015), which sought to replace

night watch and police due to limited fitness for duty, insufficiency of number, limited

authority, and lack of organization (Metropolitan Police Act, 1829). The Metropolitan

Police Act passed as a compromise and began operation with 1000 officers within six

divisions in the metropolitan area of London, which became a model of modern policing and heavily influenced policing in the United States (Gaines & Kappeler, 2015).

Modern Policing in the United States

      Political era. The era of policing in the United States from the 1840's to 1930 is known as the political era, which was characterized by police authority deriving from politicians, wide-range social service function, decentralized organization, and close relationships with the community (Bennett & Hess, 2004). During this period, the police were also an instrument for solidifying the power of politicians through appointment of officers, personal immunity from enforcement of laws, garnering votes through the allocation of police social services, and rigging elections (Bennett & Hess, 2004; Gaines & Kappeler, 2015; Kelling & Moore, 1988). In a response to wide-spread police corruption and the assassination of President Garfield in 1881, Congress passed the Pendleton Act in 1883, which created the civil service system, in which jobs were based on test scores, and promotions on merit instead of political decisions (Bennett & Hess, 2004; Rusaw & Fisher, 2017).

      The development of early metropolitan police agencies in the United States in the 1830's and1840's was not prompted by crime, but a need for social control, backed by mercantile (economic) interests, after multiple riots, in order to promote a safe and tranquil community to conduct commerce (Gaines & Kappeler, 2015; Potter, 2013; Thomas, 2019). With the ability to use force to maintain order against the lower social classes protesting dangerous working conditions and long hours, the police agencies were able to act under rule of law, while allowing merchants to transfer costs of protection to

the public sector (Potter, 2013; Gaines & Kappeler, 2015). Moreover, due to violence

becoming commonplace, police started carrying firearms regardless of policy or public

opinion, which became common practice to the modern day (Gaines & Kappeler, 2015).

Police were involved in controlling the "dangerous classes", identified by low social

status and low education, which ironically was perpetuated by businessmen creating

venues for alcohol in public (Gaines & Kappeler, 2015: Potter, 2013). However, police

culture was corrupt and brutal, which should be seen as an extension of the local

government's corruption (Gaines & Kappeler, 2015; Kelling & Moore, 1988; Potter,

2013). Monkkonen (1981) provided a different perspective and cautioned viewing the

police negatively as social control agents was too simplistic, noting society requires order

to function, and as society grew to operate in a bureaucratic fashion having a quasi-

military police force in uniform represented the city government as a well-organized

bureaucracy.

The first police modern police departments in the United States were Boston and

New York, with general agreement the New York Police Department was created

between 1844-1845 (Gaines & Kappeler, 2015; New York Times,1895; New York Police

Department, n.d.); with less agreement on when the Boston Police Department was

established, 1838 (Potter, 2013), or 1854 (Gaines & Kappeler, 2015). Regardless of the

differing dates, the emergence of modern police departments signaled the end of a 200-

year-old night watch system in the United States (Gaines & Kappeler, 2015).

Concerned about the criminal justice system and crime in the United States, two

national crime commissions were established, the first in 1925, by President Coolidge,

called the National Crime Commission, recognizing crime as a problem for the federal

government (Bennet & Hess, 2004; Palmiotto & Unnithan, 2011). The second

commission was established in 1929, by President Hoover, the National Commission on

Law Observance and Enforcement, also known as the Wickersham Commission, which

produced two reports concerning the police (Bennett & Hess, 2004; Palmiotto &

Unnithan, 2011). *Report 11, Lawlessness in Law Enforcement*, outlined police brutality

as a wide-spread problem, while *Report 14, The Police*, focused on the administration of

police departments and called for centralized administration, expert leadership, and

higher standards of personnel, which led to the reform era (Bennett & Hess, 2004; Gaines

& Kappeler, 2015).

  Reform era. The reform era is sometimes listed as 1930-1980 (Bennett & Hess,

2004); however, Gaines & Kappeler (2015) noted the reform was not distinctive in time,

as many reforms coexisted with the Political Era, and resist a hard date. Frederick W.

Taylor's *The Principles of Scientific Management* (1911) was used as a resource to

establish a small span of control, clear chain of command, centralized decision making,

and an organizational hierarchy modeled after the military, which became standard in

police agencies during the reform era (Bennett & Hess, 2004). The reform era may be

seen not only a response to the Political Era, but the anti-thesis, as policing was

characterized by crime control as the primary function, driven by Prohibition of the 1920s

and the Depression of the 1930s (Bennett & Hess, 2004; Kelling & Moore, 1988;

Stoughton, 2016). Policing moved away from community and political influences

focusing on preventative motorized patrol, quick response to crime, and police authority

deriving from the law and professionalism, which placed communities in a spectator role, primarily serving as reporters of crime, and later witnesses (Bennett & Hess, 2004; Kelling & Moore, 1988; Stoughton, 2016). Moreover, reform was facilitated by investigative commissions, police administrators seeking more professional and quality models, and general political reform (Gaines & Kappeler, 2015). Many aspects of police reform were led by August Vollmer, Chief of Berkley, CA, who became known worldwide throughout the reform era, and is considered the father of modern policing (Bennett & Hess, 2004). Vollmer advocated for a social services and crime prevention orientation of law enforcement, education of police officers, rapid response to crime, and efficiency through scientific advancement (Bennett & Hess, 2004). O.W. Wilson, Vollmer's protégé, became the principle architect of reform, and professional policing, modeling reform after Hoover's transformation of the F.B.I., and included the establishment of the first school of criminology in 1947 (Bennett & Hess, 2004; Kelling & Moore, 1988). In name, the reform era came to an end due to challenges that could not be met by law enforcement in the 1960s and 1970s , which included: an escalating drug problem, the deinstutionalization of thousands of mentally ill persons, the inability to decrease crime, excessive use of force in conflict with citizens due to the Vietnam War, civil strife and rioting in the inner-city throughout the Civil Rights era, the lack of means of hearing and addressing community grievances, police corruption, the breakdown of the family unit, and the loss of touch with the community emphasized by the professional model of policing (Bennett & Hess, 2004; Gaines & Kaeppeler, 2015; Thomas, 2019). In addition, partially as a response to President Johnson's Kerner Commission in 1968 to

examine inner-city rioting, which highlighted the dissatisfaction with police practices, the

Omnibus Crime Control and Safe Streets Act of 1968 established funding for

community-oriented programs. This Act facilitated some decentralization and operational

planning, elevating order maintenance and service as legitimate police operations to

begin an era of community-policing (Gaines & Kaeppeler, 2015; Thomas, 2019).

      Community-policing era. Community policing formerly began in 1980 focusing

on problem-oriented approaches to deal with community concerns and bringing police

agencies and the public closer together; however, community policing has had great

difficulty becoming firmly established in practice (Gaines & Kappeler, 2015; Thomas,

2019). Thomas suggested community policing may be best understood as the platform for

problem-oriented policing for analyzing and solving the problems associated with crime.

In addition, Thomas (p. 9) described community policing as "a system focused on

fostering collaboration and trust, where police, community members, and business form a

partnership to address crime in that region", but may be summed up as a "partnership

with the community" (p. 51). Thomas' assessment of community policing is consistent

with earlier findings of Cardarelli, McDevitt & Baum (1998) when surveying police

chiefs in Massachusetts. The police chiefs used phrases such as communication between

police, business, residents, and organizations; expanding to proactive engagement and

evaluation of expectations; partnerships with community to improve safety and quality of

life; joint efforts to prevent crime and violence; and decentralization focusing on crime

prevention education and crime reduction through citizen partnerships (Cardarelli,

McDevitt & Baum, 1998). Community policing evolved from two schools of thought:

Goldstein's problem-oriented policing conceptualized in 1979, and implemented through

projects developed by the Police Executive Research Forum (PERF), and community-

oriented policing, which originated from research from Michigan State University, which

addressed the fear of crime and developing partnerships with the public, while attempting

to address root problems (Gaines & Kappeler, 2015). However, the Bureau of Justice

Assistance (1994) credits Sir Robert Peel's recognition of the reciprocal relationship

between the public and the police, as the true root of community policing.

Most policing agencies claiming involvement in community policing have only

paid lip service, or partially engaged in community policing, instead of orienting an entire

department to community policing ideals of including the public as stakeholders, and

decentralization of the department to allow officers more autonomy (Contreras &

Bumbak, 2017; Gaines & Kappeler, 2015; Thomas, 2019). Ankony (1999) was in

agreement, concluding one of the barriers to effective community policing was due to the

officer's perceived alienation of the public. Ankony suggested as perceived public

alienation increased, officers were less likely to proactively seek engagement with the

public, which perpetuated the enforcement model within the Reform era.

When President Clinton signed the *Violent Crime and Law Enforcement Act of*

1994, the Office of Community Oriented Policing Services (COPS office) was created to

administer funding to local and state police agencies, and provide for community-

oriented projects (Gaines & Kappeler, 2015). Despite efforts by the federal government,

and some police departments that engaged with a community policing philosophy,

policing in the United States has retained the inner-workings of the reform-era,

professional model- detachment from the community, lack of a problem-solving approach, focused on crime, and centralized organization (Ankony, 1999; Contreras, & Bumbak, 2017; Gaines & Kappeler, 2015; Thomas, 2019). Some examples of the failure to implement community policing is evident from conclusions from commissions from 1991-2000, which noted corruption, failure to include the public as stakeholders, inability to deal with excessive force, properly supervise, and earn the trust of the minority community in the Christopher Commission (L.A.P.D.-1991), Mollen Commission (N.Y.P.D.-1992), and Rampart Scandal Review Committee (L.A.P.D.-2000) (Thomas, 2019). Similarly, the Department of Justice (2015a) highlighted similar concerns in the *Investigation of the Ferguson Police Department,* in which bias, discrimination, and violations of search and seizure, and due process were prevalent when dealing with citizens, primarily in an effort to obtain funding for the municipal court system.

Intelligence led policing strategy. After the terrorist attacks of September 11, 2001, police agencies and first responders enhanced relationships with federal agencies in order to thwart additional terrorist attacks, which led to an intelligence-led policing strategy often viewed as at odds with community policing, with some police agencies reemphasizing aggressive police tactics over community policing tactics (Gaines & Kappeler, 2015; Potter, 2013). Although law enforcement has incorporated intelligence collection at the local level, gathering the intelligence may be best obtained through the partnerships within the community, which re-emphasizes the importance of a community policing strategy (Gaines & Kappeler, 2015; Potter, 2013).

Community policing today. It is likely community policing is more important than ever as enhanced community relationships allow for greater knowledge within the community, with less aggressive tactics, flattened organizational charts, proactive problem solving, and community engagement, which should be tools to address the causes of crime, fear of crime, and other community issues addressed by an officer with both task and psychological maturity leading to police legitimacy (Bennett & Hess, 2004; Contreras, & Bumbak, 2017; Gaines & Kappeler, 2015; Moule, Parry, Burruss, & Fox, 2019). It is critical to find the right balance of cultural, political, economic, and social forces to ensure the United States remains a free, democratic society with a focus on people and partnerships, and not in a role of primary enforcers on the community (Contreras & Bumbak, 2017; Gaines & Kappeler, 2015; Moule et al., 2019; Thomas, 2019). While much of the focus has been external, on how the police engaged with the public, change should be evaluated and implemented internally within police departments regarding recruitment, selection, training, promotion, and how agencies care for officers to address inconsistencies in policing across the United States (Barker, 2017; Conroy & Bostrom, 2006; Conteras & Bumbak, 2017; Deal, 2014; Haberfeld, 2013; Hanson & Baker, 2017; Thomas, 2019).

As of August 4, 2019, the National Registry of Exonerations (2019) noted there have been 2478 exonerations from convictions since 1989, of which official misconduct of the criminal justice system was a predominate factor (54%) in all cases, and 71% in homicide cases. The lack of ethical conduct in law enforcement provides an anchor in the minds of the citizenry, prompting doubt regarding police action and legitimacy as the

enforcement arm of the criminal justice system, even when the actions of the police are legitimate and in accordance with due process (Aronson, Wilson, & Akert, 2010; Contreras & Bumbak, 2017; Moule et al., 2019). Police misconduct has historical and cultural ties, which have been barriers to professional policing since the political era (Gaines & Kappeler, 2015; Reith 1952/ 1975).

Policing in the United States remains focused on catching criminals and law orientation over people orientation, which includes code enforcement, and avoidable negative interactions (Conteras & Bumbak, 2017; Rukus, Warner, & Zhang, 2018; Thomas, 2019). While Potter (2013) agreed policing in the United States was not focused on people, Potter cited social control of the dangerous class through economic and political influences, and not crime, or crime control as continuing police roles. Potter cited increased focus on SWAT teams, a new era of surveillance, and pacification of the public through some community related policing as current and future concerns. Durr (2015) agreed with Potter concerning social control, but was concerned the dangerous class was a designation and code word for minority communities, which has permeated the criminal justice system, and continues to support the abuse of minorities through police practices such as stop and frisk, racial profiling, and driving while Black, which has not properly been addressed in the United States. Although Przeszlowski and Crichlow (2018) supported the findings of Potter, Durr, and Rukus, Warner, and Zhang, that policing was not focused on the community, Prezeszlowski and Crichlow also argued crime should not be the sole burden of the police, and the focus on policing strategies without incorporating social factors gained through partnerships in the community is a

misplaced practice, again calling for true community policing strategies. Moule et al. (2019) agreed with a comprehensive community partnership, and found the public is more willing to empower police action, programs, and policies, including militarization, when the public views the police as legitimate. Moule et al. (2019) defined police legitimacy as procedurally just, fair, respectful, courteous of citizens during interactions, basing decisions on facts of a situation, and allowing citizens to participate in decision-making processes. Moule et al. (2019) recommended further research to determine if the attitudes of other categories of individuals are constant across different police practices.

Stoughton (2016) suggested more education, better equipment, including body-worn cameras, less-lethal weaponry, training in de-escalation techniques, cultural awareness, and implicit biases may offer marginal improvements in police reform; however, long-term reform will require a shift in how officers view policing and the relationship with the community. Nix (2017) provided the perspective of a group of police chiefs, which supported Stoughton's recommendation for long-term reform. Police chiefs believed police performance/ effectiveness was the indicating factor to garner public support (Nix, 2017), which in part explains the disconnect between police action, police legitimacy, and public support. In addition, warrior policing has contributed to a counter-productive, adversarial policing approach, which has undermined police-community relations, exposing officers and the public to unnecessary risk, which is consistent with the main body of research (Dunn, 2015; Nix, 2017; Stoughton, 2016; Thomas, 2019).

The militarization of the police has been a topic of considerable concern in a community policing era. What may be described as militarization of the police began when SWAT teams evolved out of the 1965 Watts Riot in Los Angeles in which thirty-four people were killed and there was $200 million in property damage (Anthony, 2018; Stoughton, 2016). Due to a lack of resources and training for large scale disorder, the California National Guard was called in to restore order in Los Angeles (Anthony, 2018). Militarization of the police continued with President Nixon's "War on Drugs" and later with President Bush's "War on Terror" (Anthony, 2018). Although critics of police militarization are numerous, instances such as the 1997 North Hollywood bank robbery substantiated the need for the police to be equipped with military grade weapons and armored vehicles, as pistols and shotguns were inadequate for the two heavily armed bank robbers with bulletproof equipment (Anthony, 2018). The wounded laid in street exposed to continued gunfire, and the lack of sufficient firearms prompted police officers to self-equip with rifles from a nearby gun store (Anthony, 2018; Smith & Mather, 2017). Florida police chief, Donald W. DeLucca, President of the International Chiefs of Police, stated the North Hollywood Bank Robbery facilitated a paradigm shift, which focused on police agencies being prepared to deal with extreme violence, as agencies never knew when the violence could occur in the community (Smith & Mather, 2017), which later aligned with Homeland Security measures after 2001. The discussion of police militarization should focus on how equipment and resources are used, instead of what equipment and resources are used (Anthony, 2018; Stoughton, 2016). Former Sheriff, Susan Rahr, King County, Washington, agreed, stating police militarization should not be

viewed negatively, but the conversation should revolve around how military equipment and weapons are used (PBS, 2016). However, with distrust between the community and the police, and anchored belief systems, militarization of police is focused on concern of abuse of government power and escalation of violence against the community (Douglas, 2000; Durr, 2015; Potter, 2013; Thomas, 2019). Complicating the police militarization discussion are reports of the accumulation of military gear from the federal and state government often does not differentiate between the large number of non-weapon items and much smaller number of weapons when noting acquisitions (PBS, 2016). University of Central Florida Chief Richard Beary noted 96% of equipment from the military were items such as radios and office supplies, which departments do not have the budgets to purchase (PBS, 2016). Problematically, if police agencies do not have the equipment necessary to complete varied and complex operations, there is more need for state militia to restore order, and lessons of the history of policing in the United States have been ignored (Anthony, 2018; Stoughton, 2016). Collectively, researchers consistently point for a need to address the alignment of attitudes and perceptions of the police with the public to adequately address social problems and crime (Conteras & Bumbak, 2017; Durr, 2015, Moule et al., 2019; Nix, 2017; Potter, 2013; Rukus, Warner, & Zhang, 2018; Stoughton, 2016; Thomas, 2019), which may in part be addressed by aligning ethical characteristics desired in promotional candidates to education, training, and promotion thereby promoting police legitimacy and addressing past ethical failures of law enforcement supervision (Hanson & Baker, 2017; Barker, 2017; Haberfeld, 2013; Stinson, Liederbach, Lab, & Brewer, 2016).

Policing in the South

Origins

Policing in the South evolved differently than in the northern United States and has transitionary roots in the slave patrol- South Carolina (1704), Virginia (1738), Georgia (1757), North Carolina (1794), Tennessee (1806), Louisiana (1807), Arkansas and Missouri (1825), Mississippi (1831), and Kentucky (1848) (Gaines & Kappeler, 2015; Reichel, 1988). The slave patrol bounced back and forth between being independent or part of the militia until 1734, when the Provincial Assembly established the slave patrol as a separate entity (Reichel, 1988). The dangerous classes in the north were established via the immigrants and the poor through socio-economic conflict (Potter, 2013; Thomas, 2019). The dangerous class in the South was the slaves due to concerns of slaves running away, committing crime such as arson, theft, crop destruction, the poisoning of Whites, and most of all revolts and uprisings (Reichel, 1988; Turner, Giacopassi, and Vandiver, 2006). Slave patrols became rural police, and although some towns had watch patrols, the presence of a constable, and the more equal population of Whites and Blacks made patrols in town less of a priority (Reichel, 1988; Turner et al., 2006).

Unlike the development of the watchmen, constables, and sheriffs with some non-policing duties, the slave-patrol origins of policing in the South were established for the enforcement of the law, first solely against the slaves, and later to address drunkenness, loitering, and disorder of Whites (Reichel, 1988). During the Reconstruction period, Blacks who remained in the South moved to cities, where Blacks were closely monitored

by police as the dangerous class, in an effort to protect White dominance, which was
continued through Jim Crow laws and the emergence of the Ku Klux Klan (Durr, 2015;
Hawkins & Thomas, 1991; Reichel, 1988).

Modern Period

During the Civil Rights Movement of the 1960s, Hohle (2009) stated there were
competing policing strategies in the South. The new policing strategy designed by
southern administrators was to focus on internal police practices to deal with non-violent
civil rights protests with the aim of permitting an acceptable level of protest, which
included police officers in standard uniforms, negotiating with protestors, arresting with
less force, and using general arrest charges of disorderly conduct and marching without a
permit to defend against claims of desegregation practices (Hohle, 2009). However, old
South policing emphasized proactive containment through violent force meant to
intimidate and frighten protestors, instead of intervening on an as needed basis, in an
attempt to maintain social control against Blacks (Hohle, 2009). Establishing social
control may also be seen as a way to express masculinity, and Jordan (2013), noted
hypermasculinity may be no more pervasive than in rural, Southern policing, which is
consistent with Hohle's (2009) conceptualization of old South policing. In addition,
although not exclusive to the South, Boyles (2015) explained proactive policing policies
resulting in stopping and asking Blacks for identification, questioning Blacks, watching
groups of Blacks at night while on patrol, and following Blacks while on patrol facilitate
negativity toward the police, with a number of Blacks with no criminal history being
harassed with no explanation of probable cause, or reasonable suspicion offered to the

Black citizen. Making the police encounter more problematic is the perception of the

Black citizen that the police are rude and ill-mannered (Boyles, 2015), which only further

anchors negative images of the police in the memory of Black citizens, thereby tainting

and potentially worsening the outcome of future police contacts (Aronson, Wilson, &

Akert, 2010; Weiten, 2008).

The South is the deadliest region in the United States in regard to police officers

dying in the line-of-duty. According to reports from the Federal Bureau of Investigations

Law Enforcement Officers Killed & Assaulted (LEOKA) program, from 2005 to August

1, 2019, there were 740 law enforcement officers feloniously killed in the United States.

The South accounted for 46% of those deaths, while the second highest percentage of

deaths was in the West at 21% (FBI, n.d.a; FBI, n.d.b).

Police Promotional Boards

Lothian (1954) discussed the police merit board as a police appeal board for both

hiring and promotion, where officers within the promotional process could appeal as part

of the administrative process, which was ran by the police commissioners and other

personnel administrating the promotional system.

After the assassination of President Garfield in 1881, the Pendleton Act was

passed in 1883, which introduced a merit system for federal government employees

based on technical competence instead of political influence of the spoils system (Bennett

& Hess, 2004; Rusaw & Fisher, 2017). After the Pendleton Act was introduced, the

federal merit system began to diffuse to lower levels of government and was first

observed by cities in Albany, Utica, and Yonkers, New York in 1884 (Ornaghi, 2018).

Prior to the federal government becoming involved in police corruption investigations after the National Crime Commission in 1925 and the Wickersham Commission in 1929, New York City had experienced the Lexow Committee of 1894 and the Curran Committee of 1913, which focused on corruption, scandal, and reform within the New York City Police Department (Baer & Armano, 1995). Lothian (1954) discussed the police merit board as a police appeal board for both hiring and promotion, where officers within the promotional process could appeal as part of the administrative process, which was ran by the police commissioners and other personnel administrating the promotional system. Although the Lexow Committee revealed the police civil service examinations were in place in New York prior to 1894, it was normal practice for police authorities to grant promotions to the first officers applying for a specific rank (State of New York, 1895). In addition, it was generally understood within the police department that promotions were paid for by the officers, and the police commissioner's board had not taken any formal actions regarding these rumors and practices (State of New York, 1895). Moreover, the Lexow Committee hearings highlighted the inadequacies of the civil service board overseeing the promotional system due to the promotion of officers who were unfit to lead due to violations of law regarding prostitution and gambling (State of New York, 1895).

Schaffer (2010) called for further research to overcome barriers of effective police leadership from the perspective of the police supervisor, which were cultural, structural, and political, which Grabiner (2016) believed should be tied to community policing

instead of activity being part of the promotion decision, although Grabiner did not provide information on how to link promotion to community policing.

Summary

In this chapter, I discussed the literature concerning origins and developments of leadership/ leadership theory, a history of policing from the ancient world to modern times with an emphasis on policing in the United States, the history and dynamics of policing in the South, and the development of police promotional boards.

After I reviewed the literature, it was apparent there is a need for identifying leadership traits in context, and no method has been identified which focuses on the promotion of ethical police officers (Barker, 2017; Hanson & Baker, 2017). The lack of identified ethical characteristics leads to the promotion of police officers with unproven ethical qualities (Barker, 2017; Hanson & Baker, 2017; Poitras, 2017) during a time when continued unethical conduct continues to negatively impact the police profession, as well as individual officers, and degrades the safety of communities (Stinson, Liederbach, Lab, & Brewer, 2016).

In Chapter 3, I document the methodology for the study. For this research, I have chosen a qualitative Delphi study with a transformational theoretical framework. The Delphi study is an appropriate choice to identify the key ethical leadership characteristics of state police promotional candidates in the South from the perspective of the command staff member with the most direct oversight of the promotional process.

Chapter 3: Research Method

Introduction

The purpose of this qualitative Delphi study was to explore consensus among an expert panel of state police command staff members with the most direct oversight of their agency promotional process to determine the key ethical characteristics of state police promotional candidates in the South. By identifying key ethical characteristics of state police promotional candidates, agencies may use criteria to inform future promotional processes and align policy, allowing conservation of resources, while facilitating the promotion of ethical candidates, and addressing past ethical failures of law enforcement supervision (Barker, 2017; Hanson & Baker, 2017). Moreover, small rural police agencies with fewer resources may benefit from this research through the identification of key ethical leadership characteristics, which may facilitate stronger ethical alignment within the department, keeping the agency viable in the community (Brunet, 2015; Stinson, Lieberbach, Lab, & Brewer, 2016). In this chapter, I described the use of the Delphi method as a qualitative inquiry used to obtain consensus from an expert panel of command staff members of state police agencies in the South.

Research Design and Rationale

The research questions for this study were as follows:

RQ1: What is the degree of consensus of key ethical leadership characteristics for state police promotional candidates in the South from the perspective of command staff members with the most direct oversight of the police promotional process?

RQ2: What is the degree of consensus of participating command staff members supporting the incorporation of identified key ethical leadership characteristics into future agency police promotional processes?

Rugg and Petre (2007) advised research design is linked to the research questions and should be structured to answer the research question(s) with the end of the research process in mind. Patton (2015) agreed with Rugg and Petre (2007), stating research design should be determined by the purpose of the research. In this study, I determined the key ethical leadership characteristics of state police promotional candidates from the perspective of the command staff member overseeing the promotional process, which qualified these participants as experts in the field of law enforcement by experience and rank/ position (Linstone & Turoff, 1975). The end result of the research produced a list of key ethical leadership characteristics based on the consensus and expertise of the participant panel, which is superior to individual judgements (Okoli & Pawlowski, 2004). The list and associated narrative are best obtained through qualitative research compared to quantitative research, as qualitative research seeks to understand how people relate to and apply meaning to circumstances and phenomena within their lives (Ravitch & Carl, 2016). In this study, I applied meaning through the subjective judgements of the participants based on their experiences and job duties, which resulted in consensus of key ethical leadership characteristics desired in state police promotional candidates, and may be applied to informed decision-making within the police promotional process (Linstone & Turoff, 1975; Okoli & Pawlowski, 2004; Ziglio, 1996).

By using qualitative research design, I sought not only to contribute to knowledge in the field, but also to provide a source for practical considerations for rural police promotional practices, which may be discussed as an intersection of basic and action research (Patton, 2015). Patton noted action research is seeking practical and useful insights to inform a specific problem, and basic research contributes to fundamental knowledge and theory. Qualitative research is defined as a methodological inquiry to understand people's perceptions, understandings, and experiences (Ravitch & Carl, 2016). Moreover, qualitative research seeks to understand people and programs, naturally occurring without manipulation, and gathering descriptive data through direct interactions with participants (Patton, 2015).

The Delphi Method

The Delphi method was conceptualized in the 1950s, named after an Air Force sponsored research project named "Project Delphi," with the goal of obtaining expert opinions via questionnaires and controlled feedback in the study (Dalkey & Helmer, 1969; Linstone & Turoff, 1975). The Delphi method advancement was hindered by military application on the basis of national security, but in 1963 N.C. Dalkey and Olaf Helmer introduced the Delphi method in *Management Science* (Habibi et al., 2014). Delphi expanded to long range forecasting in science and technology in the "Report on a Long-Range Forecasting Study" by T. J. Gordon and Olaf Helmer in 1964, and quickly became a fundamental instrument in technology forecasting (Linstone & Turoff, 1975). From 1995-2004, there were 667 articles published on the Delphi technique in *Science Direct* and *ABI/ Inform* journals (Habibi et al., 2014). Currently, a *ProQuest Central*

Database search revealed almost 7000 peer-reviewed results for "Delphi method" since

1963, and *Google Scholar* noted 24,100 results for "Delphi method" from the period of

2005-2019, indicating wide-spread research application.

I determined the Delphi method was an appropriate mode of investigation to

determine consensus from a panel of experts (Linstone & Turoff, 1975; 2002; Okoli &

Pawlowski, 2004). The Delphi method originally had three key features: anonymity,

controlled feedback, and statistical response (Dalkey, 1969), but iteration has become an

integral aspect of the Delphi, resulting in a total of four key features (Skulmoski,

Hartman, & Krahn, 2007; Habibi, et al., 2014). The Delphi method is broadly defined as

a method for structuring group communication to facilitate an effective process when

dealing with a complex problem, may be used to obtain consensus, engage in forecasting

(Linstone & Turoff, 1975; 2002), collect data, explore possibilities, and provide a means

of informed decision making (Ziglio, 2006). Moreover, in part, the Delphi method is an

appropriate research investigative tool when: (a) a problem does not lend itself to

analytical techniques, but instead may benefit from collective subjective judgements of

an expert panel; (b) time and cost associated with face-to-face meetings are prohibitive;

and (c) it is beneficial for an expert panel to maintain heterogeneity, and not be subject to

the sway of opinions/ perspectives due to more dominate participants on a panel

(Linstone & Turoff, 1975; 2002).

Additional authors have also offered guidance on Delphi studies. Specifically,

Jones (1975) recommended running a Delphi study with a more homogeneous group to

identify areas of disagreement. Jones' criticized policy Delphi studies when panelists

evaluated areas in which work is on-going, and when the Delphi may impact the importance allotted to those areas of inquiry, which would be a conflict of interest (Jones, 1975). Brady (2015) noted the qualitative Delphi is a pragmatic and inclusive way to build theory, and Okoli and Pawlowski (2014) indicated the Delphi method has the advantage over traditional surveys due to the iterative nature between participants. Schmidt (1997) indicated many Delphi studies were not robust and were arbitrary when determining generated ranking lists. Schmidt also indicated Delphi studies should include demographic information of participants so readers may gauge the credibility of respondents. In response to guidance from the literature, I used a mean score of the participants ranking of importance in an attempt to reduce the listing of key ethical leadership characteristics, and utilized Kendall's W in order to determine the level of consensus, allowing the study to be more robust statistically (Schmidt, 1997). I provided demographic information to the extent possible in order to strengthen credibility of the study, while also protecting potential identifying information of participants, which is a critical component of ethical research (Creswell & Creswell, 2018; Ravitch & Carl, 2016; Schmidt, 1997). Selected panelists in this study were command level staff, which have a number of varied responsibilities in addition to providing direct oversight of a police promotional process, and thus no disruptions in work would be expected for this type of policy Delphi. In addition, unlike other areas of policy consideration in which a Delphi study may influence a cessation of support, state police promotional processes are fully established, on-going, and established within departmental policies and state laws.

Other Methods Considered and Rejected

Initially, I considered a quantitative approach via survey, where participants would have responded to a pre-selected characteristics drawn from leadership literature exhibiting ethical qualities such as servant leadership, transformational leadership, and authentic leadership (Bass, 2008; Greenleaf, 2008; Northouse, 2019); however, the quantitative method would not have allowed for participants to select characteristics not provided in the survey, nor would a survey have allowed for any explanation of what participants may have meant by rating certain characteristics above or below others, which may only add to the misunderstanding that exists in leadership research, and limited practical application (Barker, 2017; Gandolfi & Stone, 2016).

I considered another qualitative approach, a phenomenological approach, where participants would share lived experiences via interviews (Ravitch & Carl, 2016). A phenomenological approach may have provided in-depth information regarding personally known moral failures within individual agencies, and leadership challenges, leading to the identification of key ethical characteristics; however, allowance of more time for participants to think about potential answers, as well as an opportunity to build consensus among participants were considerations, which is a strength of the Delphi method (Jones, 1975; Linstone & Turoff, 1975; 2002).

<div align="center">

Role of the Researcher

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In qualitative research, the researcher is the most important instrument, as the researcher plans, implements, adjusts the design, and eventually collects and analyzes the data (Lincoln & Guba, 1985; Patton, 2015). In this qualitative Delphi study, I designed

the questionnaires for each round, and provided feedback of the combined responses of all participants while working toward consensus in subsequent rounds.

I do not have personal relationships with any of the research participants, and I am not employed with any state police agencies. I am a retired member of a state police agency in the South, retiring in 2012, and may have had a professional relationship with some cooperating agencies, or some participants. In addition, since retirement, I have worked with previous command staff members on agency promotional related concepts, and presented at an agency conference. I have offered to be available to assist with training or presentations in the future at the discretion of the agency, but I have no influence in the agency, or with current command staff members, and receive no compensation. No incentives were offered to participate in this research.

I have received approval from the dissertation chairperson and the IRB via email (Appendix A) to make initial contact with professional policing organizations and potential partner organizations to ascertain what may be needed for agency members to participate in the study. I spoke with the executive director of the American Association of State Troopers (AAST), and received support in the form of written letter (Appendix D), which may signal the research endeavor is worthy of the time of the solicited participants.

Methodology

Participant Selection Logic

The purpose of this study was to identify the key ethical characteristics of state police promotional candidates in the South from the perspective of the command staff

officer with the most direct oversight of the agency promotional process. To accomplish

the purpose of the study, it was necessary for the participants to be qualified by position

and knowledge in order to answer the research questions, which was indicated on the

letter of cooperation, the consent form, and verified on the demographic questionnaire.

The sample size available for this study was dependent upon the number of

participating state police agencies in the South. According to the U.S. Census Bureau

(n.d.) the South is defined as 16 states: Alabama, Arkansas, Delaware, Florida, Georgia,

Kentucky, Louisiana, Maryland, Mississippi, North Carolina, Oklahoma, South Carolina,

Tennessee, Texas, Virginia, and West Virginia. As the entire population of the South

consists of only 16 states (U.S. Census Bureau, n.d.), I attempted to contact each state

police agency in the South to participate in the study. The number of participants

recommended for a Delphi study varies in range, as Skulmoski, Hartman, and Krahn

(2007) documented published Delphi studies with participant samples as low as three and

as high as 171. Brockoff (1975) suggested four to eleven participants would be

appropriate when a small group of experts are available, and Turoff (1975) suggested

between 10 and 50 participants would be appropriate for an organizational policy Delphi.

Lam, Petri, and Smith (2000) conducted a study with three experts for rule development

in optimizing a ceramic process. Soliciting expert opinion from state police command

staff personnel in this Delphi study is similar to Lam, Petri, and Smith's study, in that

experts will be identifying important elements which may be used to affect process. This

completed study had three participants.

Pilot Study

In this research study, I included a pilot study, which served as a trial-run of the research, and allowed for the opportunity to make adjustments, thereby increasing the value of the end-result of the study (Beck, 2015). Piloting is a tool that facilitates the evaluation of a study and instruments, research questions, research design, and data collection, which contributes to rigor, validity, and quality of the data (Beck, 2015; Ravitch & Carl, 2016). Additionally, Ziglio (2006) noted part of the criticism of many Delphi studies had been lack of piloting to provide guidance and rigor to the study. The pilot study was conducted to determine if the instructions were understandable; if items on the questionnaire were clear and concise; to receive suggestions participants may offer for the improvements of materials provided; and determine if the data provided in the study was aligned with the goal of the study (Proffitt, 2018). Adjustments to the main study methodology and process were considered during the course of, and after the conclusion of the pilot study.

After IRB approval, a pilot study was conducted with a number of state police command staff members from the Midwest. According to the U.S. Census Bureau (n.d.), the Midwest is composed of the following states: Illinois, Indiana, Iowa, Kansas, Michigan, Minnesota, Missouri, Nebraska, North Dakota, Ohio, South Dakota, and Wisconsin. I attempted to contact each chief executive law enforcement officer of each state police agency in the Midwest via email and letter to briefly explain the nature of the study, and request permission to contact an executive officer by completing and returning a letter of cooperation to the Walden IRB and myself. The email/ letter also contained a

letter of support from the American Association of State Troopers (Appendix D), and a

prepared letter of cooperation with information required by the Walden IRB. The

returned letter of cooperation requested the rank, name, email address, mailing address,

and work phone number for the executive with the most direct oversight of the agency's

promotional process to be solicited.

I solicited potential participants via email, and sent the consent form (Appendix

B), and the letter of support from the American Association of State Troopers (Appendix

D) to indicate the research project may be deserving of consideration. After consent

forms of participants were returned, I sent a demographic survey to participants. After the

demographic survey was returned, participants meeting the selection criteria of the pilot-

study were sent the following information via email:

- o The nature of the problem. (Appendix C)

- o A form with definitions of the four tenets of transformational leadership.
  (Appendix E)

- o An open-ended survey form with detailed directions and explanation of
  the questionnaire. (Appendix F)

The pilot study consisted of recruiting experts and three rounds of the Delphi

study in order to work toward consensus for RQ1 and RQ2. The level of consensus was

reported after the second round. The pilot study continued until there was strong

consensus, or the consensus leveled off (Okoli and Pawlowski, 2004; Schmidt, 1997),

which resulted in a 3-round study. Figure 2 presents a methodology flowchart, which

guided the pilot study.
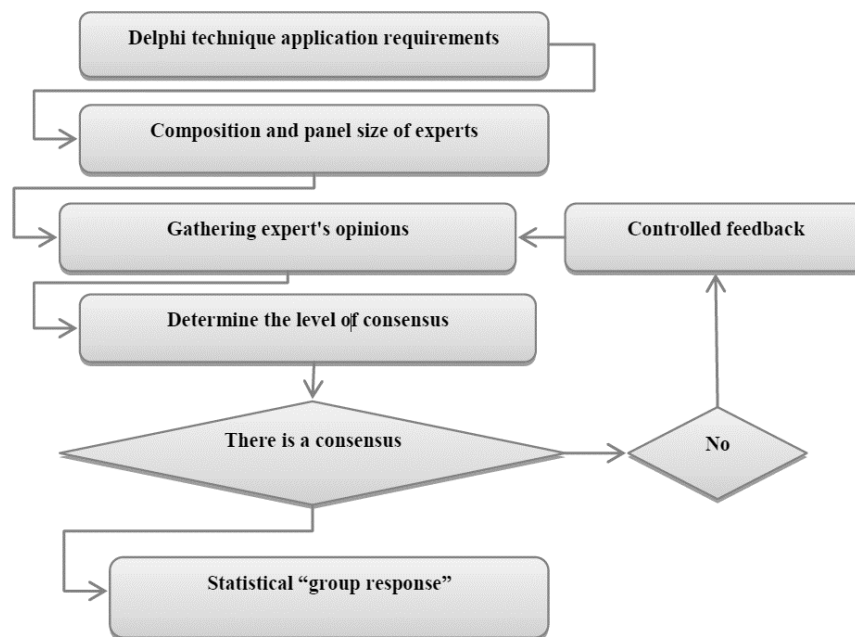
Figure 3. Delphi methodology flow chart (Habibi et al., 2014).

If participants did not respond during the scheduled response time during a week of

a round of the study, I accepted late responses up to 5 days late. If responses were not

returned within the 5 days of the scheduled response time, the participant was considered

stopping participation in the study. The deadline was necessary to respect the time of the

other participants and move the study toward conclusion.

Procedures for Recruitment, Participation, and Data Collection

I used purposeful sampling in this qualitative research design, also referred to as

strategic sampling, in order to obtain rich information from specific populations and

locations (Ravitch & Carl, 2016). Purposeful sampling refers to the deliberate choosing

of participants, based on the ability of those participants to answer the research questions,

so as to provide context-rich data for specific populations and locations (Ravitch & Carl, 2016). Since I sought to determine key ethical leadership characteristics of state police promotional candidates in the South from the perspective of command staff members with the most direct oversight of the agency's police promotion process, purposeful sampling was necessary in order to answer the research questions.

I solicited participants from the 16 state police agencies in the southern United States according to the U.S. Census Bureau (n.d.). After IRB approval of all required forms and processes, I attempted to contact the chief executive law enforcement officer of each state police agency in the southern United States via email and letter to briefly explain the nature of the study, and request permission to contact an executive officer by completing and returning a letter of cooperation to the Walden IRB and myself. The email/ letter also contained a letter of support from the American Association of State Troopers (Appendix D), and a prepared letter of cooperation with information required by the Walden IRB. The prepared letter of cooperation requested the rank, name, email address, mailing address, and work phone number of the agency command staff member with the most direct oversight of the agency's promotional process to be solicited.

I solicited potential participants via email, and sent the consent form (Appendix B), and the letter of support from the American Association of State Troopers (Appendix D) to indicate the research project may be deserving of consideration. After return of the consent form, I sent participants a demographic questionnaire (Appendix I). Upon return of the demographic questionnaire, I ensured participants met the selection criteria of the study, which required designation as a member of the executive command staff, and

either direct oversight of the agency's promotional process, or being the first line supervisor of the person with direct oversight of the agency's promotional process.

In the consent form, participants were advised each round of the study would begin on a Monday, and a response was due by Friday of the same week. If participants did not respond by Thursday (day 4), I would send a "there is still time" email indicating the current round of the study would be ending on Friday (day 5). If participants did not respond by Friday (day 5), the participant was considered stopping participation in the study. This deadline was necessary to respect the time of the other participants and move the study toward conclusion.

After the demographic questionnaires were returned, I sent the following information to participants via email in Round 1: The nature of the problem. (Appendix C), a form with definitions of the four tenets of transformational leadership (Appendix E), and an open-ended survey form with detailed directions and explanation of the questionnaire (Appendix F). The demographic questionnaire not only added to the credibility of the study (Schmidt, 1997), but ensured alignment between the purpose of the study and the participants, as each participant must be a member of a command staff, and have either direct oversight of the agency promotional process, or be the first line supervisor of the person with direct oversight of the agency promotional process.

The entire Delphi study was conducted via email, and continued through three rounds. An advantage to conducting a Delphi study was participants and I did not need to be in the same location as participants, time was not limited, and a Delphi study was cost effective (Habibi et al., 2014; Linstone & Turoff, 1975). Data obtained via email was

retained on an encrypted and password protected computer drive and analyzed during

each round of the study, and the mean and level of consensus were reported after the

second round to provide feedback to participants (Proffitt, 2018; Schmidt, 1997).

Habibi et al. (2014) recommended a Likert scale as a tool to be used to determine

the importance of items. I used a 5-point Likert scale to establish consensus in this Delphi

study. Although there are multiple types of Likert scales, including 2-point, 5-point, 7-

point, 9-point, 11-point, 12-point, and 100-point percentage scales, Willits, Theodori, and

Luloff (2016) noted the 5-point scale is consistent with research tradition, ease of use,

and comparability with other studies.

Data Analysis Plan

Upon completion and submission of the questionnaire in Round 1, I reviewed and

analyzed the data by coding and determining themes (Ravitch & Carl, 2016; Ziglio,

1996), and then I member-checked the data (Lincoln & Guba, 1985; Okoli and

Pawlowski, 2004; Schmidt, 1997) before constructing the questionnaire for Round 2.

During the member checking process before Round 2, each participant received a copy of

their responses from the first questionnaire, to remain familiar with the previously chosen

characteristics to aid in member checking (Okoli & Pawlowski, 2004). After member

checking, subsequent adjustments, and approval by the IRB, I sent the Round 2

questionnaire to participants. I asked participants to rate the degree of importance of

identified key ethical leadership characteristics (RQ1) from Round 1 of the study, which

would result in ranked ethical leadership characteristics by mean score. The goals in

Round 2 were to attempt to pare down the list created in Round 1 (Schmidt, 1997;

Skulmoski, Harman, & Krahn, 2007) and evaluate the level of consensus via Kendall's *W* (Schmidt, 1997).

After I received data in Round 2, I calculated the mean score of opinions for each characteristic. Characteristics with a mean score lower than four would have been removed from subsequent rounds as consensus was being built (Habibi et al., 2014); however, no scores below four were returned by participants. I determined and evaluated the level of consensus by Kendall's Coefficient of Concordance (Kendall's *W*) in the Statistical Package for the Social Sciences software (SPSS) version 25.

Schmidt (1997) noted Kendall's method is preferable in measuring consensus because the analysis is easy to understand and apply. Okoli and Pawlowski (2004) commented Kendall's *W* ranges in value from 0, indicating no consensus, to 1, indicating perfect consensus, and Kendall's *W* was a superior metric for measuring non-parametric rankings. Schmidt (1997) indicated polling should cease if either strong consensus was obtained, or *W* leveled off, indicating a lack of progress from the previous round. Habibi et al. (2014) indicated the minimum score categories for Kendall's *W*: 0.7, strong consensus; 0.5, moderate consensus; and 0.3 for weak consensus.

I reported the mean and level of consensus after the second round to provide feedback to participants (Schmidt, 1997). A 5-point Likert scale was used by each participant to rank characteristics from the original list in Round 2 by level of importance, working toward consensus to answer RQ1. The evaluation of key ethical leadership traits continued through multiple rounds until there was either a strong consensus (0.7 or higher), or a leveling off of *W* (Habibi et al., 2014; Schmidt, 1997).

In the third and final round, participants produced a listing of key ethical leadership traits in the context of the tenets of transformational leadership, which was ranked by the mean scores, and I evaluated the level of consensus by Kendall's W (Schmidt, 1997) to determine a listing of key ethical leadership characteristics. In addition, I asked candidates to indicate the level of support of including the identified key ethical characteristics in future agency promotional processes on a 5-point Likert scale. The rating options ranged from "very non-supportive (1)" to "very supportive (5)", and were evaluated by mean and Kendall's W to determine what level of consensus participants had regarding the level of support (RQ2). Schmidt (1997) indicated subsequent rounds be considered to break the ties of any ranked characteristics. Although an additional round was considered to break the tie of mean scores, one participant submitted data a week late in Round 3, and had picked up additional work responsibilities. Moreover, in the context of ethical leadership characteristics individual characteristics ranked by mean score may provide little practical value, which also figured into the decision not to conduct an additional round to break the ties of mean scores. I notified participants via email of the study's conclusion on May 29, 2020, and I advised a summary page of the research would be provided for review, as well as the option of obtaining a complete copy of the dissertation after publication.

Issues of Trustworthiness

Credibility

Credibility is a parallel term to internal validity in quantitative research, and is defined as the assurance of accuracy between the participants views and the researcher's

representation of those views (Lincoln & Guba, 1985; Patton, 2015), which speaks to the skill of the researcher's competence and skill (Patton, 2015). Credibility is established through member-checking (Ravitch & Carl, 2016) and obtaining demographic information for consideration by readers (Schmidt, 1997). Member checking is a method of establishing credibility, and is defined as verifying the coding/ themes assigned by the researcher aligns with the original response of the participant (Ravitch & Carl, 2016). Schmidt (1997) and Okoli and Pawlowski (2004) agreed member checking is essential to credibility in a Delphi study.

In this study, I established credibility through member checking after the first round. I asked participants to verify the representation of their data established in coding/ themes before Round 2 of the study began, which provided a list of key ethical leadership characteristics used during subsequent rounds of the Delphi study. In addition, I included demographic information in the study to increase credibility of the data obtained from respondents.

Transferability

Transferability is parallel to external validity in quantitative research, and is defined as the ability to infer (transfer) the results of a study to a different population, or in a different setting than in the original study (Lincoln & Guba, 1985; Patton, 2015). While transferability, also discussed as generalizability, is not a goal in qualitative research, the research may be sufficiently generalized in context (Patton, 2015; Ravitch & Carl, 2016). Evaluating contextual factors in qualitative research allows stakeholders,

practitioners, and researchers an opportunity to consider transferability of research from case to case (Lincoln & Guba, 1985; Ravitch & Carl, 2016).

In this study, I requested detailed descriptions of identified key ethical leadership characteristics in the context of state police promotional candidates from members of state police executive leadership in the southern United States. The findings of this study should be considered within contextual factors of other police agencies and geographic areas outside of the South to determine applicability to other cases (Lincoln & Guba, 1985; Patton, 2015; Ravitch & Carl, 2016).

Dependability

Dependability is parallel to reliability in quantitative research, and is defined as stability of data, which focuses on the inquiry process and ensuring the process is logical, traceable and documented (Lincoln & Guba, 1985; Ravitch & Carl, 2016). Guba (1981) noted dependability may be accomplished by overlapping methods such as triangulation to produce stability.

In this study, triangulation was exhibited through the solicitation of participants from across the 16 states of the southern United States, providing for a diverse group of experts within the region. Moreover, I cited research to support logical processes, and documented the procedures, which were traceable throughout data collection and analysis.

Confirmability

Confirmability is parallel to objectivity in quantitative research, and is defined as the process of establishing the data and analysis as accurate (Lincoln & Guba, 1985;

Ravitch & Carl, 2016). While qualitative research does not seek objectivity, it remains important for researchers to explore how biases and prejudices may influence the interpretation of data and mitigate as fully as possible (Ravitch & Carl, 2016). Achieving confirmability includes strategies such as member checking, researcher reflexivity, and peer debriefing (Patton, 2015; Ravitch & Carl, 2016).

In this study, I member checked data with participants between the first and second round. Moreover, I subjected the data and data analysis to researcher reflexivity through contemplation and mitigation of assumptions and biases by clearly stating reasoning for research design and methodology, and seeking peer-reviewed literature to assist in defining the nature of the problem. In addition, peer debriefing was conducted through multiple reviews of the full dissertation committee, which included the university researcher reviewer (URR).

Ethical Procedures

Creswell and Creswell (2018) highlighted multiple considerations for ethical procedures to respect the rights of participants, which included: research objectives being communicated clearly so the informant may understand; written permission to participate in the study (informed consent); the study being approved through the Institutional Review Board; providing original data submissions and researcher interpretations to be made available to the participants, and placing first consideration on the participants rights, interests, and wishes when reporting the data.

In this study, I adhered to ethical procedures by seeking approval to conduct research through the Institutional Review Board, and obtaining informed consent from

participants prior to any data collection. In addition, I checked with participants for understanding of the process, provided original data to participants for member-checking, making researcher interpretations available to participants, and considered the rights, interest, and wishes of participants when reporting data. In addition, participants completed and returned the consent form required by the University and the Institutional Review Board, which clearly articulated the study is voluntary, and participants may terminate participation at any time without any negative effects. I advised participants obtained data and personal information were confidential, encrypted, password protected and would be stored for a period of at least 5 years as required by the University in the consent form.

Summary

In this qualitative Delphi study, I used a transformational theoretical framework design to identify the key ethical leadership characteristics of state police promotional candidates in the South from the perspective of command staff members with the most direct oversight of the agency promotional process. I selected the Delphi method due to the ability to address a complex problem through subjective judgements of an expert panel; the dispersion of experts across 16 states in the South; cost effectiveness; and the ability to mitigate the perspective of more dominate participants on the panel. I designed the questionnaires for each round, which were approved through the IRB, incorporated feedback to the participants, and manually coded data into categories and themes. In Round 2, participants used a 5-point Likert scale to weigh the importance for the key ethical leadership characteristics the participants listed in Round 1. In Round 3,

participants used a 5-point Likert scale to again rate the importance of key ethical leadership characteristics after feedback from Round 2 to answer RQ1, and also indicated the level of support to include the identified key ethical leadership characteristics into future agency promotional processes to answer RQ2.

I addressed trustworthiness by establishing credibility, transferability, dependability, and confirmability. I established credibility by member checking and obtaining demographic information. I established transferability by providing detailed descriptions of the research process in context. I obtained dependability by triangulation, and documenting logical procedures throughout data collection and analysis, and I addressed confirmability through member checking, researcher reflexivity, and peer debriefing.

In Chapter 4, I will discuss the purpose of the research, restate the research questions, and briefly describe the pilot-study. Then I will describe data collection, findings, data analysis and evidence of trustworthiness of the study.

Chapter 4: Results

Introduction

In this section, I review the results of this qualitative Delphi study. In the first part of the chapter, the purpose and research questions were revisited, and the pilot-study was briefly discussed. Next, I explain a detailed review of the research setting, data collection, data analysis, and evidence of trustworthiness. Finally, the chapter ends with a summary and preview of Chapter 5.

Purpose of the Study

The purpose of this qualitative Delphi study was to explore and identify the key ethical leadership characteristics of state police promotional candidates in the South from the perspective of a panel of command staff members with the most direct oversight of their agency promotional process.

Research Questions

To investigate the key ethical leadership characteristics of state police promotional candidates, the research questions for this qualitative Delphi study were:

RQ1: What is the degree of consensus of key ethical leadership characteristics for state police promotional candidates in the South from the perspective of command staff members with the most direct oversight of the police promotional process?

RQ2: What is the degree of consensus of participating command staff members supporting the incorporation of identified key ethical leadership characteristics into future agency police promotional processes?

Pilot Study

I received approval for this research proposal from the Walden University

Institutional Review Board (IRB) on December 2, 2019, under approval number 12-02-

19-0174069, with an expiration date of December 1, 2020 (see Appendix O). The pilot-

study consisted of soliciting a panel from the 12 state police agencies in the Midwest.

According to the U.S. Census Bureau (n.d.), the Midwest is composed of the following

states: Illinois, Indiana, Iowa, Kansas, Michigan, Minnesota, Missouri, Nebraska, North

Dakota, Ohio, South Dakota, and Wisconsin. The objectives of the pilot study were to

determine: (a) if the instructions were understandable; (b) if items on the questionnaire

were clear and concise; (c) to note any suggestions participants may offer for the

improvements of materials provided; and (d) to determine if the data provided was

aligned with the goal of the study (Proffitt, 2018). I started the pilot-study on January 27,

2020, and completed the study on March 10, 2020. I notified participants of the

completion of the pilot-study on March 11, 2020. I requested feedback from the pilot-

study and received feedback on March 11, 2020.

During and after review of the pilot study, I made the following adjustments for

the study with IRB approval. First, the letter/email to chief law enforcement officers

indicated a 30-day period to return a letter of cooperation, and indicated the approved

command staff member to contact needed to directly oversee the agency promotional

process, or be the direct supervisor of the person who oversees the agency promotional

process. Second, I modified the demographic questionnaire instructions to indicate brief

answers were appropriate, and participants may reply directly to the email. I added three

additional questions to the demographic questionnaire, which resulted in 12 total

questions. Last, I made changes on the consent form, which advised participants the study

period may be 10 weeks, due to approximately 20 days of IRB approval time of Round 2

and Round 3 combined. I advised participants the normal schedule in the study would be

for information to be sent to participants on a Monday, and a response needed to be

received on Friday of the same week. If participant responses were not received by

Thursday, I sent an email reminding participants there was still time to complete a

particular phase of the study. Responses not received by the end of a Friday indicated a

participant had dropped out of the study. I instructed potential participants to reply within

5 days of receipt of the email if they desired to participate in the study. I made no

changes to the methodology of the study, and I was satisfied the data aligned with the

goal of the study.

Overview of the Study

This qualitative Delphi study consisted of three rounds conducted via email,

which identified the key ethical leadership characteristics in the context of

transformational leadership while providing for anonymity, controlled feedback,

statistical response and an iterative process, which is consistent with a Delphi model

(Skulmoski, Hartman, & Krahn, 2007; Habibi et al., 2014).

As illustrated in Figure 4, in Round 1 participants created a list of key ethical

leadership characteristics and provided explanations of the key ethical leadership

characteristics within the four tenets of transformational leadership. I then coded the data

and determined themes resulting in a comprehensive listing of 33 key ethical leadership

characteristics.
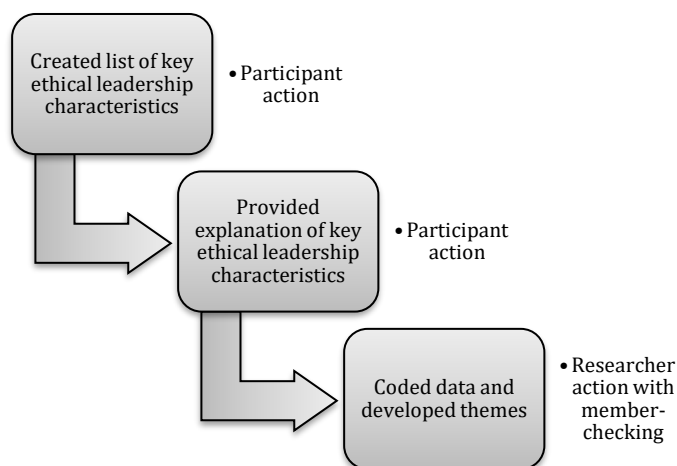
Figure 4. Process in Round 1 of Delphi study.

After the first round, I conducted member-checking to ensure participant

responses were well understood, which enhanced the credibility and dependability of the

study (Lincoln & Guba, 1985; Ravitch & Carl, 2016; Schmidt, 1997). As illustrated in

Figure 5, Round 2 participants reviewed the key ethical leadership characteristics, and

used a 5-point Likert scale to rate the importance of each key ethical leadership

characteristic, which was an attempt to pare down the list. I then determined the ranked

mean of key ethical leadership characteristics, and the level of consensus by Kendall's *W*

in SPSS software version 25.
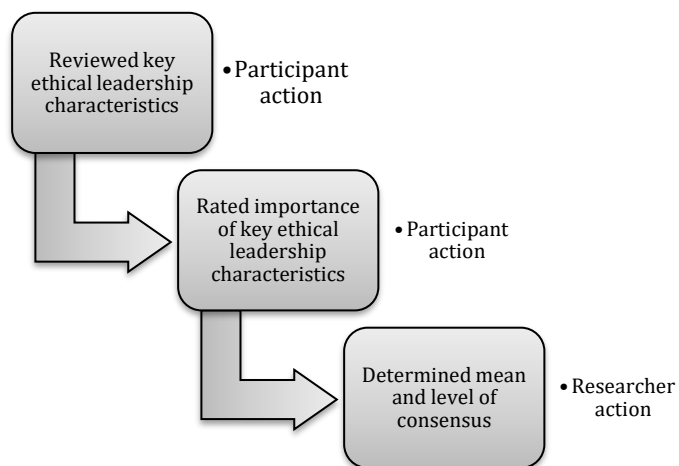
Figure 5. Process in Round 2 of Delphi study.

As illustrated in Figure 6, in Round 3 participants reviewed feedback via descriptive statistics as a statement of position, and used a 5-point Likert scale to again rate the importance of key ethical leadership characteristics. Participants also indicated the level of support of using key ethical leadership characteristics in future agency promotional processes, and the levels of consensus for both importance and support were determined via Kendall's *W* in SPSS software version 25. When consensus was obtained, the purpose of the study was fulfilled, and the research questions were answered.
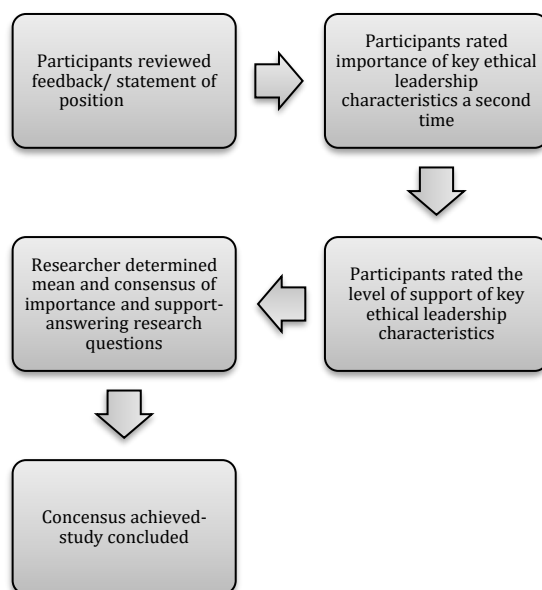
Figure 6. Process in Round 3 of Delphi study.

Research Setting and Participant Demographics

I received approval for this qualitative Delphi study from the Walden University

Institutional Review Board (IRB) on December 2, 2019, under approval number 12-02-

19-0174069, with an expiration date of December 1, 2020 (see Appendix O). All study

questionnaires were approved by the IRB prior to each round.

The South was defined as 16 states identified by the U.S. Census Bureau (n.d.),

which included: Alabama, Arkansas, Delaware, Florida, Georgia, Kentucky, Louisiana,

Maryland, Mississippi, North Carolina, Oklahoma, South Carolina, Tennessee, Texas,

Virginia, and West Virginia. I attempted to solicit letters of cooperation from the 16 state

police/ highway patrol agencies in the South via email on February 24, 2020, and letters

were mailed on Feb 27, 2020, to better ensure agencies received the opportunity to

participate in the study. Emails/ letters to chief executive law enforcement officers

requested a 30-day response of letters of cooperation in order continue with the next phase of the research project in a timely manner. The email/ letter to the chief executive law enforcement officer (see Appendix H) stated the purpose of the study, noted the information provided in the study would be confidential, with no mention of names or agencies in future publications, and the study was being conducted as part of my dissertation. I included a letter from the American Association of State Troopers (see Appendix D) supporting the study to indicate the study may be worthy of an agency's time. I sent a partially completed letter of cooperation (see Appendix G) with the name of the study, requesting the name, rank, email address, and work phone number of the executive officer with the most direct oversight of the agency promotional process to the agencies' chief executives. I requested a completed and signed letter of cooperation, if I had permission to contact the command staff member with oversight of the agency promotional process. I solicited potential participants listed in the letter of cooperation by email. I conducted the entire study via email, and a total of three executive officers, whom either directly supervised, or had the most direct supervision of the agency promotional process participated throughout the study. The number of participants in the study represented almost 19% of the participants/ agencies solicited due to the small population of 16 executive officers with the most direct oversight of the agency promotional process in the South. I began the study on April 13, 2020 and concluded the study on May 29, 2020. I notified participants of the study's conclusion on May 29, 2020, and I advised summary information would be forwarded to them in upcoming weeks. I also offered a copy of the published dissertation to participants.

I conducted the entire study by email during the COVID-19 global pandemic, when there were numerous stay-at-home orders, and a gradual phasing in of returning to work. There is no reason to believe the participants had any greater immunity to the uncertain times, which impacted the world. In addition, near the very end of the study protests over the death of George Floyd in Minneapolis, MN began in many cities, and rioting ensued in multiple cities across the United States, promoting multiple national guard deployments to help protect people and property. Moreover, all participants worked for essential law enforcement agencies working through the pandemic and civil unrest. One participant mentioned increased responsibilities over the course of this study. I made no inquiry of the stage, or status of any agency's current promotional process. It is unknown to what degree, if any, COVID-19 may have impacted participants who consented to participate in the study, then dropped out during the course of the study.

Participants completed a demographic questionnaire (see Appendix I) after the consent form was received, which included 12 questions to enhance the credibility of the study (Schmidt, 1997). The first two questions served as filtering/ vetting questions to ensure the panel of experts assembled aligned with the goals of the research by position/ job responsibilities. All participants responded appropriately to the first two questions to continue in the study. Table 1 provides a summary of reported participant demographics, which added credibility (Schmidt, 1997) and dependability (Lincoln & Guba, 1985; Ravitch & Carl, 2016) to this study, and should be considered in determining transferability (Lincoln & Guba, 1985; Ravitch & Carl, 2016). Some demographics were

categorized, combined, or omitted to further protect the confidentiality of participants,

which is an ethical research practice (Creswell & Creswell, 2018).

Table 1

Demographic Summary

Q3 & Q4: Participant years of service (sworn & civilian)	20+ years
Q6: Participant years of service on command staff.	10+ years
Q7: Highest level of education.	Masters or higher (2) Bachelors (1)
Q8: Participant served as an evaluator/ facilitator in the promotional process of other police agencies?	Yes (2); No (1)
Q9: Participant contributed to, or recommended policy changes to agency promotional process?	Yes (3); No (0)
Q10: Participants contributed to published professional/ scholarly works?	Yes (0); No (3)
Q11: Agencies where participants work practice transformational leadership?	Yes (3); No (0)
Q12: Participants attended command level schools?	Yes (2); No (1)

Data Collection and Analysis

Purposeful sampling, also known as strategic sampling was the sampling strategy

I chose for this study, which allowed me to obtain rich information from specific

populations and locations to answer the research questions (Ravitch & Carl, 2016).

Consensus was achieved in this study to identify the key ethical characteristics of state

police promotional candidates in the South from the perspective of command staff

members with the most direct oversight of the agency promotional process.

The only data collection variation in the study was during Round 3, when one

participant did not return the Round 3 questionnaire by Friday, day 5, after receiving a

"there is still time" email on Thursday, day 4. After consulting with my dissertation

committee, I contacted the participant that did not return the Round 3 questionnaire. The

participant advised due to a busy schedule the questionnaire was forgotten about the

previous week, but the participant did want to fully contribute to the study. The

participant did submit the Round 3 questionnaire by email on Friday, May 29, 2020. No

other unusual circumstances were encountered in the data collection. I collected all data

in multiple file folders, and saved data on an encrypted, password protected drive as

outlined in the Chapter 3.

The Delphi study is known as a group decision technique, which allows a group

of expert stakeholders to answer difficult questions (Mitroff & Linstone, 1975; Okoli &

Pawlowski, 2004). A critical aspect of a Delphi study is the proper selection of experts,

which Okoli and Pawlowski (2004) advised was often neglected. In this study, I aligned

the solicitation of experts with the purpose of the study, the research questions, and

verified the status of the expert panel through the demographics survey, which enhanced

the credibility (Schmidt, 1997) and dependability (Lincoln & Guba, 1985; Ravitch &

Carl, 2016) of the study. Due to the nature of seeking expert consensus among state

police command staff members with the most direct oversight of state police agencies in

the South, only 16 command staff members met the population criteria for this study.

A recommended tool for establishing the importance of items was a Likert scale (Habibi et al., 2014), which I used to obtain consensus in the Delphi study. I chose a 5-point Likert scale for this study, excluding other Likert scales, due to ease of use, ability to more directly compare with other studies, and consistency within research tradition (Willits, Theodori, & Luloff, 2016).

The Participant Delphi Schedule is presented below in Table 2, which indicated a start date of April 13, 2020, and completion date of May 29, 2020.

Table 2

Participant Delphi Schedule

Event	Start Date	End Date
Delphi Round 1	4-13-2020	4-17-2020
Round 1 analysis	4-18-2020	4-19-2020
Member checking	4-20-2020	4-24-2020
Round 2 sent to IRB for approval	4-25-2020	4-28-2020
Delphi Round 2	5-4-2020	5-8-2020
Round 2 analysis	5-8-2020	5-9-2020
Round 3 sent to IRB for approval	5-9-2020	5-13-2020
Delphi Round 3	5-18-2020	5-29-2020
Round 3 analysis	5-23-2020	5-29-2020

Six state police agencies in the South provided letters of cooperation, and a total of five state police command staff members consented to participate in the doctoral study. Four state police command staff participants returned the demographics questionnaire, and all four participants met the criteria for the study. Three participants returned the Round 1 questionnaire, and continued through all three rounds of the Delphi study.

Round 1

During Round 1 of the Delphi study, I sent participants information on the nature

of the problem (see Appendix C), a form with definitions of the four tenets of

transformational leadership (see Appendix E), and an open-ended questionnaire (see

Appendix F) with detailed directions and explanation of the questionnaire. I asked each

participant to list key ethical leadership characteristics in the context of each of the four

tenets of transformational leadership, and provide a brief explanation of each factor to aid

in coding, which would assist other experts in subsequent rounds of the study (Proffitt,

2018). During Round 1 of the study, I proposed four open-ended questions to panel

members (see Appendix F) in order to elicit responses, which began the inquiry for the

research questions.

The four questions in Round 1 of the Delphi study were:

- What are the key ethical characteristics of state police promotional candidates in

  the South within the context of idealized influence?

- What are the key ethical characteristics of state police promotional candidates in

  the South within the context of inspirational motivation?

- What are the key ethical characteristics of state police promotional candidates in

  the South within the context of individualized consideration?

- What are the key ethical characteristics of state police promotional candidates in

  the South within the context of intellectual stimulation?

To ensure there were enough characteristics to be meaningful in the study

(Schmidt, 1997; Schmidt, 2001), I asked each participant to list at least three

characteristics per each tenet of transformational leadership, from which to categorize and pare down in subsequent rounds. Upon completion and submission of the questionnaire, I processed and analyzed the data by manually coding the data, and determining themes (Ravitch & Carl, 2016; Ziglio, 1996), and then I member-checked data (Lincoln & Guba, 1985; Okoli and Pawlowski, 2004; Schmidt, 1997) before constructing the questionnaire for Round 2. During the member checking process before Round 2, I provided each participant a copy of their responses from the first questionnaire to remain familiar with the previously chosen characteristics and aid in member checking (Okoli & Pawlowski, 2004).

During Round 1, three participants returned the questionnaire, which initially indicated 37 key ethical characteristics. During coding, I merged four of the 37 key ethical characteristics due to their similarity, which was supported by the definitions provided by participants, and 12 key ethical characteristics were coded to enhance clarity and provide brevity. I coded the remaining characteristics as presented by participants. Participants member-checked the data after coding to ensure the data retained original meaning (Lincoln & Guba, 1985; Okoli and Pawlowski, 2004; Schmidt, 1997). After coding and member-checking, 33 key ethical leadership characteristics remained, within the tenets of transformational leadership as follows: Eight key ethical leadership characteristics were associated within the tenets of idealized influence, inspirational motivation, and individualized consideration. Nine key ethical leadership characteristics were associated with intellectual stimulation. I included the 33 identified key ethical leadership characteristics, with explanations provided by participants, in the context of

the four tenets of transformational leadership from Round 1 in the Round 2 questionnaire

(see Appendix M). Four of the identified key ethical leadership characteristics were

chosen in multiple tenets of transformational leadership: effective communication was

present in inspirational motivation and individualized consideration; empowering/

empowering others were present in inspirational motivation and intellectual stimulation;

promoting synergy was present in individualized consideration and intellectual

stimulation; and think win-win was present in individualized consideration and

intellectual stimulation. Identified key ethical leadership characteristics may be viewed

below in Table 3 under the appropriate tenet of transformational leadership as designated

by participants.

Table 3

Key Ethical Leadership Characteristics Identified in Round 1

Idealized influence		
Supportive	Integrity	Predictability
Respect for others	Honesty	Leadership by example
Ethical	Fairness	
Inspirational motivation		
Collaborative	Empowering	Optimistic
Effective communication	Competent	Forward thinking
Inspiring a shared vision	Encourages initiative	
Individualized consideration		
Inclusive	Empathy	Effective communication
Exhibits personal interest in others	Promoting synergy	Think win-win
Commitment to share information	Exhibits enthusiasm	
Intellectual stimulation		
Curiosity	Creative	Open-minded
Challenging the status quo	Innovative	Adaptable
Empowering others	Promoting synergy	Think win-win

The key ethical leadership characteristics noted in Table 3 continued into Round 2 where participants rated each key ethical leadership characteristic by importance on a 5-point Likert scale, which resulted in ranked ethical leadership characteristics by mean.

Round 2

After collecting data from the first questionnaire, and member-checking, I analyzed the responses. I used Round 1 data to form a well-structured questionnaire for

Round 2 (Hsu & Sandford, 2007), and submitted the questionnaire for IRB approval.

After IRB approval, I distributed a 5-point Likert scale questionnaire to participants to

rate the importance of the identified key ethical leadership characteristics, resulting in

ranked ethical leadership characteristics by mean.

I sent participants the Round 2 questionnaire (see Appendix M) via email, which

included the participant explanations for each identified key ethical leadership

characteristic. The purpose of the second questionnaire was an attempt to narrow down

the key ethical leadership characteristics and work toward consensus (Okoli &

Pawlowski, 2004) to answer RQ1. The 5-point Likert scale not only allowed for various

degrees of agreement/ disagreement regarding importance from extremely important (5)

to extremely unimportant (1), but also provided an opportunity to not indicate an opinion

(neither agree or disagree), which is viewed as an important component of a Likert

analysis (Willits et al., 2016). The Round 2 questionnaire maintained the same order of

the tenets of transformational leadership from the Round 1 questionnaire: idealized

influence, inspirational motivation, individualized consideration, and intellectual

stimulation. The key ethical leadership characteristics were not listed in any particular

order, which mitigated bias based on the list order (Okoli & Pawlowski, 2004). If a score

of "3" or below was chosen on the Likert scale, I encouraged participants to provide brief

feedback to illicit better understanding of points of neutrality, or disagreement between

participants (Proffitt, 2018). I determined the level of consensus by Kendall's Coefficient

of Concordance (Kendall's *W*) using the Statistical Package for the Social Sciences

Software (SPSS) version 25.

All 33 key ethical leadership characteristics remained after Round 2, due to no characteristics receiving a mean score lower than "important (4)". The level of importance of key ethical leadership characteristics is illustrated in Table 4 by mean score, and the level of consensus as evaluated by Kendall's *W* is reported in Table 5.

Table 4

Descriptive Statistics Round 2

	N	Mean	Std. Deviation	Minimum	Maximum
Idealized Influence					
Supportive	3	4.67	0.577	4	5
Integrity	3	5.00	0.000	5	5
Predictability	3	4.67	0.577	4	5
Respect	3	4.67	0.577	4	5
Honesty	3	5.00	0.000	5	5
Leadership by Example	3	4.67	0.577	4	5
Ethical	3	5.00	0.000	5	5
Fairness	3	4.67	0.577	4	5
Inspirational Motivation					
Collaborative	3	4.33	0.577	4	5
Empowering	3	5.00	0.000	5	5
Optimistic	3	4.67	0.577	4	5
Effective Communication IM	3	5.00	0.000	5	5
Inspiring Shared Vision	3	4.33	0.577	4	5
Competent	3	4.67	0.577	4	5
Forward Looking	3	4.33	0.577	4	5
Encourages Initiative	3	4.67	0.577	4	5
Individualized Consideration					
Inclusive	3	5.00	0.000	5	5
Exhibits Personal Interest in Others	3	4.33	0.577	4	5
Empathy	3	4.67	0.577	4	5
Commitment to Share Information	3	5.00	0.000	5	5
Exhibits Enthusiasm	3	4.33	0.577	4	5
Promoting Synergy IC	3	4.33	0.577	4	5
Effective Communication IC	3	4.67	0.577	4	5

Think Win Win IC	3	4.67	0.577	4	5
Intellectual Stimulation					
Curiosity	3	5.00	0.000	5	5
Creative	3	4.67	0.577	4	5
Open Minded	3	5.00	0.000	5	5
Challenging Status Quo	3	5.00	0.000	5	5
Innovative	3	4.67	0.577	4	5
Adaptable	3	4.67	0.577	4	5
Empowering Others	3	5.00	0.000	5	5
Promoting Synergy IS	3	4.33	0.577	4	5
Think Win Win IS	3	4.33	0.577	4	5

As illustrated in Table 5, the level of consensus evaluated by Kendall's *W* in

SPSS was 0.381, which indicated a weak level of consensus (Habibi et al., 2014).

Table 5

Kendall's Coefficient of Concordance for Round 2

N	3
Kendall's Wª	0.381

I included an abbreviated Table 4 in the Round 3 questionnaire (see Appendix N),

and provided participants with feedback through descriptive statistics after IRB approval.

The abbreviated Table 4 excluded the number of participants "N", the standard deviation,

and the tenets of transformational leadership, which differentiates the key ethical

leadership characteristics. The standard deviation was not a measure indicated by

Schmidt (1997) to be used in feedback, and I presented no information to participants that

indicated the number of expert panelists would be known during the study. Although I

did not list the tenets of transformational leadership on the questionnaire, repeated

characteristics within different tenets did have capital letters beside the characteristic,

such as "IC" for individualized consideration and retained the same order as on the Round 2 questionnaire. I reported Kendall's *W* from Table 5 to participants in the Round 3 questionnaire as a statement of position, which explained weak consensus had been achieved regarding importance of the key ethical leadership characteristics (Habibi et al., 2014).

Round 3

After IRB approval, I distributed the Round 3 questionnaire to participants via email. The questionnaire I used in Round 3 had a 5-point Likert scale, and again I asked participants to rate the importance of each key ethical leadership characteristic associated within the four tenets of transformational leadership, which would result in ranked ethical characteristics by mean, seeking consensus to answer RQ1. I also asked participants to express their level of support for including key ethical leadership characteristics in their future agency promotional process, ranging from "very non-supportive (1)" to "very supportive (5)", seeking consensus to answer RQ2. Participants did not rate any key ethical leadership characteristics below "4" for importance, or level of support, and no comments were made by participants in Round 3. I reported the mean score of characteristics (Habibi et al., 2014), and current level of consensus (Schmidt, 1997) via Kendall's *W* to participants on the Round 3 questionnaire in the same reporting format as Round 2. On the Round 3 questionnaire, I indicated Kendall's *W* for Round 2 was weak consensus, measured at 0.381 (Habibi, et al., 2014), which provided a statement of position based on information from the whole group (Hsu & Sanford, 2007). On the Round 3 questionnaire, I maintained the same order of the tenets of transformational

leadership from the Round 1 and Round 2 questionnaire: idealized influence, inspirational motivation, individualized consideration, and intellectual stimulation. I maintained the key ethical leadership characteristics in the same list order as in Round 2, which were not listed in any particular order, mitigating bias based on the list order (Okoli & Pawlowski, 2004). I analyzed the results of the Round 3 questionnaire, and I determined Kendall's *W* for both the rating of importance and support to include identified key ethical leadership characteristics in future agency promotional processes in SPSS software version 25. Table 6 illustrates the results of rated importance in Round 3.

Table 6

Descriptive Statistics Rating Importance Round 3

	N	Mean	Std. Deviation	Minimum	Maximum
Idealized Influence					
Supportive	3	4.67	.577	4	5
Integrity	3	5.00	.000	5	5
Predictability	3	5.00	.000	5	5
Respect	3	5.00	.000	5	5
Honesty	3	5.00	.000	5	5
Leadership by Example	3	4.67	.577	4	5
Ethical	3	5.00	.000	5	5
Fairness	3	4.67	.577	4	5
Inspirational Motivation					
Collaborative	3	4.33	.577	4	5
Empowering	3	5.00	.000	5	5
Optimistic	3	4.67	.577	4	5
Effective Communication IM	3	4.67	.577	4	5
Inspiring Shared Vision	3	4.33	.577	4	5
Competent	3	5.00	.000	5	5
Forward Looking	3	4.33	.577	4	5
Encourages Initiative	3	4.67	.577	4	5
Individualized Consideration					
Inclusive	3	5.00	.000	5	5

Exhibits Personal Interest in Others	3	4.33	.577	4	5
Empathy	3	4.67	.577	4	5
Commitment to Share Information	3	5.00	.000	5	5
Exhibits Enthusiasm	3	4.33	.577	4	5
Promoting Synergy IC	3	4.33	.577	4	5
Effective Communication IC	3	5.00	.000	5	5
Think Win Win IC	3	4.67	.577	4	5
Intellectual Stimulation					
Curiosity	3	5.00	.000	5	5
Creative	3	4.67	.577	4	5
Open Minded	3	5.00	.000	5	5
Challenging Status Quo	3	5.00	.000	5	5
Innovative	3	4.67	.577	4	5
Adaptable	3	4.67	.577	4	5
Empowering Others	3	5.00	.000	5	5
Promoting Synergy IS	3	4.33	.577	4	5
Think Win Win IS	3	4.33	.577	4	5

Table 7 illustrates the level of consensus regarding importance of identified key ethical leadership characteristics.

Table 7

Kendall's Coefficient of Concordance for Importance in Round 3

N	3
Kendall's Wª	0.447

Table 8 illustrates the ratings of the level of support to include key ethical leadership characteristics in future agency promotional processes.

Table 8

Descriptive Statistics Rating Level of Support to Include Identified Key Ethical
Leadership Characteristics in Future Agency Promotional Processes Round 3

	N	Mean	Std. Deviation	Minimum	Maximum
Idealized Influence					
Supportive	3	4.33	.577	4	5
Integrity	3	4.67	.577	4	5
Predictability	3	4.67	.577	4	5
Respect	3	4.33	.577	4	5
Honesty	3	4.67	.577	4	5
Leadership by Example	3	4.67	.577	4	5
Ethical	3	4.67	.577	4	5
Fairness	3	4.67	.577	4	5
Inspirational Motivation					
Collaborative	3	4.33	.577	4	5
Empowering	3	4.67	.577	4	5
Optimistic	3	4.67	.577	4	5
Effective Communication IM	3	4.33	.577	4	5
Inspiring Shared Vision	3	4.33	.577	4	5
Competent	3	4.33	.577	4	5
Forward Looking	3	4.33	.577	4	5
Encourages Initiative	3	4.33	.577	4	5
Individualized Consideration					
Inclusive	3	4.67	.577	4	5
Exhibits Personal Interest in Others	3	4.33	.577	4	5
Empathy	3	4.33	.577	4	5
Commitment to Share Information	3	4.33	.577	4	5
Exhibits Enthusiasm	3	4.00	.000	4	4
Promoting Synergy IC	3	4.33	.577	4	5
Effective Communication IC	3	4.33	.577	4	5
Think Win Win IC	3	4.67	.577	4	5
Intellectual Stimulation					
Curiosity	3	4.67	.577	4	5
Creative	3	4.33	.577	4	5
Open Minded	3	4.67	.577	4	5
Challenging Status Quo	3	4.67	.577	4	5

Innovative	3	4.33	.577	4	5
Adaptable	3	4.00	.000	4	4
Empowering Others	3	4.67	.577	4	5
Promoting Synergy IS	3	4.33	.577	4	5
Think Win Win IS	3	4.33	.577	4	5

Table 9 illustrates the level of consensus for support to include key ethical leadership characteristics in future agency promotional processes.

Table 9

Kendall's Coefficient of Concordance for Level of Support in Round 3

N	3
Kendall's Wª	0.286

Schmidt (1997) indicated polling should cease if either strong consensus was obtained, or *W* leveled off, indicating a lack of progress from the previous round. After analyzing data from Round 3, I reported Kendall's *W* for importance had leveled off in the weak consensus range (Habibi et al., 2014), signaling the end of the study. I notified participants of the end of the study on May 29, 2020, and I advised a summary of the study would be sent in upcoming weeks, and I also offered to send participants a copy of the dissertation after publication.

Evidence of Trustworthiness

Credibility

In this study, I established credibility through member checking after the first round, and by obtaining respondent demographics. I asked participants to verify the representation of their coded data by member-checking before Round 2 of the study, which provided a list of key ethical leadership characteristics used during subsequent

rounds of the Delphi study. Moreover, I included practical demographic information in the study, while withholding some demographic information to protect the identity of study participants.

Although there were only three participants in the Delphi study, credibility was supported by locating all 33 identified key ethical leadership characteristics, or comparable ethical characteristics, within the research literature. Finding the identified ethical leadership characteristics in the literature supports the premise that a larger expert panel may have produced similar results. The three study participants were well qualified for this research study having 20+ years' experience (mean) in law enforcement (sworn & civilian service), with 10+ years' experience (mean) on their respective command staffs, and were well educated, with each having a bachelor's degree, and two members having at least a master's degree.

Transferability

In this study, I requested detailed descriptions of identified key ethical leadership characteristics in the context of state police promotional candidates from members of state police executive leadership, with the most direct oversight of the agency promotional process in the southern region of the United States. The explanations offered by participants provided information and insight into what the characteristic meant, and provided insight into why a participant believed the identified characteristic was ethical. The findings of this study should be considered within contextual factors of other police agencies and geographic areas outside of the South to determine applicability to other cases (Lincoln & Guba, 1985; Patton, 2015; Ravitch & Carl, 2016).

Dependability

In this Delphi study, I exhibited triangulation through the solicitation of participants from across the 16 states of the southern United States, providing for a diverse group of experts within the region. Moreover, I cited research in this study to support logical processes, and document the procedures, which were traceable throughout data collection and analysis.

Dependability within the study was also supported by locating all 33 identified key ethical leadership characteristics, or comparable ethical characteristics, in the research literature, which supports the stability of the data in the study (Lincoln & Guba, 1985; Ravitch & Carl, 2016).

Confirmability

In this study, I conducted member checking of the data with participants in Round 1, prior to any subsequent rounds in the study. Moreover, I maintained the same order of the tenets of transformational leadership during all questionnaires: idealized influence, inspirational motivation, individualized consideration, and intellectual stimulation. I did not list the key ethical leadership characteristics in any particular order, which mitigated bias based on the list order (Okoli & Pawlowski, 2004). Finally, I subjected data and data analysis to researcher reflexivity, and later in the process, peer debriefing through the committee and university reviewer review (URR) on multiple occasions.

<div align="center">

Summary

</div>

The purpose of the study was to determine the key ethical characteristics of state police promotional candidates in the South from the perspective of command level

officers with the most direct oversight of the agency promotional process. A pilot-study

was conducted in the Midwest, which did not alter the research design for the study, but

resulted in small informational and procedural changes, which informed the study while

maintaining the original research design and objectives. I attempted to contact state

police chief executives in the 16 states in the South by email and mail, and I provided an

opportunity to participate in the study by completing and returning a letter of cooperation.

Six state police agencies in the South provided letters of cooperation, and a total of five

state police command staff members agreed to consent to participate in the research. Four

state police command staff participants returned the demographics questionnaire, and all

four participants met the criteria for the study. During Round 1, only three participants

returned the questionnaire, which yielded 33 key ethical leadership characteristics under

the tenets of transformational leadership: Eight key ethical leadership characteristics were

associated within the tents of idealized influence, inspirational motivation, and

individualized consideration, and nine key ethical leadership characteristics were

associated within the tenet of intellectual stimulation. During Round 2, participants rated

each key ethical leadership characteristic as at least important "4", which did not provide

a pared down list of key ethical leadership characteristics. Analysis via Kendall's *W*

indicated weak consensus (0.381) regarding importance of the key ethical leadership

characteristics (Habibi et al., 2014). During Round 3, respondents again rated the 33 key

ethical leadership characteristics for importance after having received descriptive

statistics, and analysis via Kendall's *W* as a statement of position. In Round 3, Kendall's

W analysis indicated weak consensus (0.447) regarding importance (Habibi et al., 2014).

In addition, respondents rated the level of support for incorporating each identified key ethical leadership characteristic into their future agency's promotional process. Kendall's *W* indicated below weak consensus (0.286) (Habibi et al., 2014) for the level of support. Due to stalled progress on consensus regarding importance, the study was concluded (Schmidt, 1997). I determined the degree of consensus for key ethical leadership characteristics was measured at 0.447 by Kendall's *W*, answering RQ1. I also determined the degree of consensus for the support of key ethical leadership characteristics in future agency promotional processes was measured at 0.286 by Kendall's *W*, answering RQ2. All Kendall's *W* analysis was completed in SPSS version 25 in this study.

I obtained evidence of trustworthiness by establishing credibility, transferability, dependability, and confirmability throughout the research process. In this study, I established credibility through member-checking, demographic information, and observation of the data within the research literature. I established transferability through detailed descriptions of the research process in context. I established dependability through triangulation, documenting logical procedures during data collection and analysis of data, and the stability of the data through the finding of comparable ethical leadership characteristics in the research literature. I established confirmability through member checking, maintaining a set order of presenting data, researcher reflexivity, and peer debriefing.

In Chapter 5, I will review the purpose of the study, the research questions, and methodology. Moreover, in Chapter 5, I will provide a summary of the findings, interpretation of key findings, implications for social change, and significance and

limitations of the study. Finally, I will make recommendations for further study and

conclusions of the study will be discussed.

Chapter 5: Discussion, Conclusions, and Recommendations

Introduction

The study was an opportunity to respond to the call of researchers to provide further investigation into police promotional processes (Barker, 2017; Hanson & Baker, 2017), further explore the role of leadership (Forsyth & Maranga, 2018; Marques, 2015), and expand research in rural policing (Contessa & Wozniak, 2018; Sun, 2017), while also seeking to determine proper tools to enhance ethical leadership in law enforcement and enhance law enforcement and community relationships (Haberfeld, 2013; Police Executive Research Forum, 2018; Somanader, 2016). In the course of three rounds of a qualitative Delphi study, 33 key ethical leadership characteristics were identified by three members of state police command staff members from different state police agencies in the South. These three police executives remained anonymous to each other, reviewed feedback in the form of definitions of proposed key ethical leadership characteristics, descriptive statistics, and the level of consensus of the group. Participants had the opportunity to alter importance ratings of proposed identified key ethical leadership characteristics, allowing the study to be iterative.

In the first part of this chapter, I review the purpose of the study, the research questions, and methodology. In the second section, I discuss a summary of the findings, and key interpretations of the findings. In the third section, I discuss the significance of the study, and note the limitations and issues of trustworthiness. Last, I discuss recommendations for further study and conclusions.

Purpose of the Study

The purpose of this qualitative Delphi study was to identify key ethical leadership characteristics of state police promotional candidates in the South from the perspective of the command staff member with the most direct oversight of the agency promotional process in 2020. By conducting the study, I added to the literature on ethical leadership, which may be considered to advance ethical behavior in rural police agencies in the South.

Research Questions

RQ1: What is the degree of consensus of key ethical leadership characteristics for state police promotional candidates in the South from the perspective of command staff members with the most direct oversight of the police promotional process?

RQ2: What is the degree of consensus of participating command staff members supporting the incorporation of identified key ethical leadership characteristics into future agency police promotional processes?

Methodology

In this qualitative research design, I sought to understand the respondents' perceptions, understandings, and experience without manipulation by gathering descriptive data through direct interactions with participants (Patton, 2015; Ravitch & Carl, 2016). The Delphi method was chosen due to being a group communication process which could facilitate a complex problem, obtain group consensus, and provide a means of informed decision making (Linstone & Turoff, 1975/ 2002; Ziglio, 2006). Moreover, a Delphi study is composed of four key features, which include anonymity, controlled

feedback, statistical response, and iteration (Dalkey, 1969; Shulmoski, Hartman, & Krahn, 2007; Habibi et al., 2014). Furthermore, a Delphi study is an appropriate research tool when research may benefit from subjective judgements of an expert panel, time and costs of face-to-face meetings are prohibitive, and it is beneficial for an expert panel to maintain heterogeneity, while not being swayed by more dominate participants on a panel (Linstone & Turoff, 1975/ 2002).

The Delphi study consisted of three rounds, and each round received Walden Institutional Review Board (IRB) approval prior to commencement. In Round 1, I obtained a list of key ethical leadership characteristics of state police promotional candidates. After I conducted member-checking, I prepared the Round 2 questionnaire and I asked participants to rate the importance of the key ethical leadership characteristics identified in Round 1. I encouraged respondents to provide written feedback for any rated scores below "3", to better understand why those low rated characteristics were not deemed important. I used Kendall's *W* to evaluate and determine the level of consensus in SPSS software version 25. In Round 3, I asked respondents again to rate the importance of key ethical leadership characteristics, which received at least a score of important "4", after receiving descriptive statistics and level of consensus information as feedback and statement of position. In addition, I asked participants to rate the level of support for including each of the key ethical leadership characteristics in future agency promotional processes. I evaluated importance and support by using Kendall's *W* in SPSS software version 25 to answer the research questions.

Summary of the Findings

The summary of key findings of the Delphi study are highlighted in Table 10.

Table 10

Summary of Key Findings in Delphi Study

Round	General key findings	Key findings for RQ 1	Key findings for RQ2
1	Four key ethical leadership characteristics were present within multiple tenets of transformational leadership highlighting interconnectedness	33 key ethical leadership characteristics identified to be able to address consensus in subsequent rounds	33 key ethical leadership characteristics identified to be able to address consensus of support in Round 3
2	Data presented within three distinct tiers by mean, all above "important (4.0)"	Weak consensus (W=0.381) of key ethical leadership characteristics determined	After considering importance in Round 2, the Round 3 questionnaire was being prepared to address RQ2
3	Data regarding importance and support presented within three distinct tiers by mean All data above "important (4.0)" and at least "supportive (4.0)"	Weak consensus (*W*=0.447) of key ethical leadership characteristics determined	Threshold of weak consensus (0.30) not met *W*= 0.286 for support of key ethical leadership characteristics in future agency promotional processes

Round 1

The identification of key ethical leadership characteristics for state police promotional candidates in the South had not previously been investigated. The identification of the 33 key ethical leadership characteristics were consistent with what was found in the research literature and is illustrated on Table 11 and Table 12. Each key ethical leadership characteristic, or comparable characteristic were found within the research literature, often on multiple occasions. Moreover, participant inclusion of four key ethical leadership characteristics (effective communication, empowering/ empowering others, promoting synergy, and think win-win) appeared within more than one tenet of transformational leadership implying interrelatedness of the four tenets.

Table 11 illustrates the connection between ethical leadership characteristics found in the data and ethical leadership characteristics found in the literature from ancient times.

Table 11

Comparison of Ethical Leadership Characteristics in the Data and Literature From Ancient Times

Group/person/theory	Author(s)/ References	Time period	Ethical leadership characteristics found in the literature	Comparable ethical leadership characteristics found in the study
Egyptians	Lichtheim (1973)	25th-24th century B.C.	Modesty, kindness, peaceful	Empathy, respect for others
Greeks- Homer's (*The Iliad*), Socrates, Plato, Aristotle	Plutarch, Dryden, & Clough (1932)	8th-4th century B.C.	Listening, consideration of others' ideas, wisdom, mentoring, challenging unsound practices, kindness,	Respect for others, exhibits personal interest, open-minded,

	Sarachek (1968) Tyne (2012)		collaboration, nurturing, communication, emotional growth, selflessness	empowering, inclusive, supportive, collaboration, effective communication, challenging the status quo
Jesus	Matt 7:12; Mark 10:42-45; Phil 2:3	1st century A.D.	Intimately knowing people, determining needs, serving people with humility, highest ethical consideration	Ethical, leadership by example, inclusive, empowering, exhibits personal interest in others, think win-win (IC), honesty, integrity, respect for others, fairness
Chinese- Confucius and Lao-tzu	Bass (2008)	6th century A.D.	Moral, supportive	Ethical, supportive

Table 12 illustrates the connection between ethical leadership characteristics found in the data and ethical leadership characteristics found in the literature from 19th-21st centuries.

Table 12

Comparison of Ethical Leadership Characteristics in the Data and Literature From 19th-21st Centuries

Group/person/theory	Author(s)/ References	Time period	Ethical leadership characteristics found in the literature	Comparable ethical leadership characteristics found in the study
Hegel's (*Philosophy of Mind*)	Bass (2008)	19th century	Leaders to first serve as followers, understand followers	Empowering, inclusive, think win-win (IC)
Stodgill's (*A Preliminary Study in The Psychology and Pedagogy of Leadership*)	Stodgill (1948)	1900s-1940s	Leadership trait classifications- **capacity** (verbal ability, judgement); **achievement** (scholarship/knowledge); **responsibility** (desire to excel, dependability); **participation** (adaptability, cooperation)	Effective communication, fairness, exhibits enthusiasm, predictability, competent, commitment to share information, adaptable
Blake and Mouton's Leadership managerial grid Hersey & Blanchard's Situational leadership theory	Bass (2008) Northouse (2019)	1950s-1960s	Shared goals, concern for people, coaching, mentoring,	Inspiring a shared vision, exhibits personal interest in others, forward thinking
Greenleaf's Servant leadership theory Burn's Transformational leadership theory	Greenleaf (1970/2008) Burns (1978)	1970s	Collaborative, shared conceptualization, active involvement between leaders and followers Service- focusing on others; humility	Collaborative, forward thinking, inspiring a shared vision, exhibits personal interest in others, empowering others
Adaptive leadership theory	Bass (2008) Northouse (2019)	1980s-2000s	Encouragement- overcoming challenges, followership (service),	Empowering others, challenging the status quo,

| Authentic leadership theory

Spiritual leadership theory			values/sense of calling to motivate others	promoting synergy, think win-win, ethical, encourages initiative, adaptable, creative
Modern scholars	Bass (2008) Marques (2010) Marques (2015) McCluskey (2014) Forsyth & Maranga (2018) Northouse (2019)	Beyond 2000-current	Moral reasoning/ judgement, development of the whole person (leaders), foster psychological growth, tolerance, awareness, self-reflection, humility, vision, using influence for the good of others, passion, purpose, educating the whole person	Ethical, fairness, think win-win, exhibits personal interest in others, innovative, inspiring a shared vision, curiosity

The key findings in Round 1 were twofold. First, identifying the 33 key ethical leadership characteristics was the first required step to be able to evaluate the level of consensus of those characteristics (RQ1) and determine support for those characteristics in future agency promotional processes (RQ2) in subsequent rounds. Second, the same key ethical leadership characteristics identified within different tenets of transformational leadership highlights the interconnectedness of the tenets within transformational leadership theory.

Round 2

The importance of individual key ethical leadership characteristics for state police promotional candidates in the South had not previously been investigated. Although I located ethical leadership characteristics within the literature with discussion regarding

the value of the characteristics (Bass, 2008; Northouse, 2019), as well as within the

context of situations (Bass, 2008; Forsyth & Maranga, 2018; Northouse, 2019), no

literature I reviewed identified and rated the importance of ethical leadership

characteristics of police promotional candidates.

I observed the reported mean of the data within three tiers: (a) eleven key ethical

leadership characteristics within the four tenets of transformational leadership were rated

very important (mean of 5.0); (b) fourteen key ethical leadership characteristics within

the four tents of transformational leadership were rated between important and very

important (mean of 4.67); (c) eight key ethical leadership characteristics within tenets of

transformational leadership were rated between important and very important (mean of

4.33). Table 13 illustrates the observed three tiers of rated ethical leadership

characteristics by importance, differentiated by mean scores.

Table 13

Summary of Three Tiers of Importance From Round 2 by Mean

Tier 1 (mean 5.0)

Idealized influence	Inspirational motivation	Individualized consideration	Intellectual stimulation
Integrity, Honesty, Ethical	Empowering, Effective communication	Inclusive, Commitment to share information	Curiosity, Open-minded, Challenging the status quo, Empowering others

Tier 2 (mean 4.67)

Idealized influence	Inspirational motivation	Individualized consideration	Intellectual stimulation
Supportive, Predictability, Respect for others, Leadership by example, Fairness	Optimistic, Competent, Encourages initiative	Empathy, Effective communication, Think win-win	Creative, Innovative, Adaptable

Tier 3 (mean 4.33)

Idealized influence	Inspirational motivation	Individualized consideration	Intellectual stimulation
None	Collaborative, Inspiring a shared vision, Forward looking	Exhibits personal interest in others, Exhibits enthusiasm, Promoting synergy	Promoting synergy, Think win-win

I noted the key findings in Round 2 data presented within three distinct tiers by mean score, which gave initial indicators of how participants may eventually rate the importance of each ethical leadership characteristic. I conducted the analysis of Kendall's *W*, which was measured at 0.381, signifying participants had achieved weak consensus (Habibi et al., 2014). The initial stage of consensus of key ethical leadership characteristics (RQ1) had been accomplished. The degree of consensus of support to incorporate identified key ethical leadership characteristics into future agency promotional processes (RQ2) would occur in Round 3.

Round 3

The level of support of individual key ethical leadership characteristics for state police promotional candidates in the South had not previously been investigated. I asked participants to again rate the importance of key ethical leadership characteristics on a 5-point Likert scale, which were ranked by mean. I also asked participants to rate the level of support for including identified key ethical leadership characteristics in future agency promotional processes on a 5-point Likert scale, which were ranked by mean. I evaluated both importance and support by Kendall's *W* to determine level of consensus of the participants in SPSS version 25.

I observed the reported mean of the data regarding importance within three tiers: (a) fourteen key ethical leadership characteristics within the four tenets of transformational leadership were rated very important (mean of 5.0); (b) eleven key ethical leadership characteristics within the four tents of transformational leadership were rated between important and very important (mean of 4.67); (c) eight key ethical leadership characteristics within tenets of transformational leadership were rated between important and very important (mean of 4.33). Table 14 illustrates the observed three tiers of rated importance data differentiated by mean scores.

Table 14

Summary of Three Tiers of Importance From Round 3 by Mean

Tier 1 (mean 5.0)

Idealized influence	Inspirational motivation	Individualized consideration	Intellectual stimulation
Integrity, Honesty, Ethical, Predictability, Respect for others	Empowering, Competent	Inclusive, Commitment to share information, Effective communication,	Curiosity, Open-minded, Challenging the status quo, Empowering others

Tier 2 (mean 4.67)

Supportive, Leadership by example, Fairness	Optimistic, Effective communication, Encourages initiative	Empathy, Think Win-Win	Creative, Innovative, Adaptable

Tier 3 (mean 4.33)

None	Collaborative, Inspiring a shared vision, Forward thinking	Exhibits personal interest in others, Exhibits enthusiasm, Promoting synergy	Promoting synergy, Think Win-Win

The support of including key ethical leadership characteristics for state police promotional candidates in the South had not previously been investigated. In Round 3, I asked participants to indicate their level of support of incorporating identified key ethical leadership characteristics in future agency promotional processes. I observed the reported mean of the data within three tiers: (a) fourteen key ethical leadership characteristics within the four tenets of transformational leadership were rated as between supportive and very supportive (mean of 4.67); (b) seventeen key ethical leadership characteristics within the four tents of transformational leadership were rated between supportive and

very supportive (mean of 4.33); (c) two key ethical leadership characteristics within the

four tenets of transformational leadership were rated supportive (mean of 4.0). Table 15

illustrates the rated levels of support to include key ethical leadership characteristics in

future agency promotional processes by mean score.

Table 15

Summary of Three Tiers of Support From Round 3 by Mean

Tier 1 (mean 4.67)

Idealized influence	Inspirational motivation	Individualized consideration	Intellectual stimulation
Integrity, Predictability, Honesty, Leadership by example, Ethical, Fairness	Empowering, Optimistic	Inclusive, Think Win-Win	Curiosity, Open-minded, Challenging the status quo, Empowering others
Tier 2 (mean 4.33)			
Supportive, Respect for others	Collaborative, Effective Communication, Inspiring a shared vision, Competent, Forward looking, Encourages initiative	Empathy, Exhibits personal interest in others, Promoting synergy, Effective communication, Commitment to share information	Creative, Innovative, Promoting synergy, Think Win-Win
Tier 3 (mean 4.00)			
None	None	Exhibits enthusiasm	Adaptable

Based on the analysis, I determined there was a weak level of consensus in the

study, measured at 0.447 by Kendall's *W* for importance (Habibi et al., 2014). The level

of consensus obtained to include the identified key ethical leadership characteristics in

future agency promotional processes was measured at 0.286 by Kendall's *W* for support, which was slightly below the 0.300 threshold required for weak consensus (Habibi et al., 2014). I answered both research questions in the study by determining the degree of consensus for key ethical leadership characteristics (RQ1), and determining the degree of consensus of participating command staff members supporting the incorporation of identified key ethical leadership characteristics into future agency promotional processes (RQ2).

There were three key findings in Round 3. First, the data regarding importance and support presented in three tiers, with all data indicating mean scores above "important (4)", and at least "supportive (4)". Second, determining the degree of consensus of key ethical leadership characteristics was accomplished, measured at 0.447 (weak consensus) by Kendall's *W*, answering (RQ1) (Habibi et al., 2014). Last, the degree of consensus of participating command staff members supporting the incorporation of key ethical leadership characteristics into future agency promotional processes was determined, measured at 0.286 (below weak consensus) by Kendall's *W*, answering (RQ2) (Habibi et al., 2014).

Interpretations of key Findings

The identification of 33 key ethical leadership characteristics within the tenets of transformational leadership may be useful to inform choices regarding promotional material updates, revisions, and may be seen as a source providing research-based support for character attribute evaluation of future promotional candidates. Research will benefit as the study begins to fill the gap of ethical leadership criteria for police

promotional candidates. The rankings of the key ethical leadership, which were

established by mean score through Round 2 and Round 3, allow for assessment and

prioritization of key ethical leadership characteristics by police executives.

Round 1

The 33 key ethical leadership characteristics identified in Round 1 were consistent

with the ethical leadership characteristics found in the research literature. Collectively

locating the data or comparable ethical characteristics signals the interrelatedness of

ethical leadership characteristics through history. However, of note was what ethical

leadership characteristics were not found in the data, but were present in the literature

review. The ethical leadership characteristics of humility and modesty were present

within the literature but not specifically noted in the data. However, it is possible humility

and modesty may be inferred within at least one of the ethical leadership characteristics

explanations of empathy, respect for others, or fairness.

All 33 identified key ethical leadership characteristics, or comparable

characteristics were located in the Chapter 2 literature review. Locating all identified key

ethical leadership characteristics in the research literature signifies an additional measure

of credibility to the study by indicating the limited number of participants did not

negatively impact the findings in Round 1. Moreover, the identification of the 33 key

ethical leadership characteristics by participants provided for consensus to be evaluated

in subsequent rounds of the study to answer both RQ1 and RQ2.

Four of the identified key ethical leadership characteristics were present within

multiple tenets of transformational leadership. Effective communication was identified in

both inspirational motivation and individualized consideration. Empowering/ empowering others were identified in the tenets of inspirational motivation and intellectual stimulation. Promoting synergy was identified within the tenets of individualized consideration and intellectual stimulation. Think win-win was identified within the tenets of individualized consideration and intellectual stimulation. The crossing of key ethical leadership characteristics within the tenets of transformational leadership highlights the interconnectedness of the tenets with each other, and also may indicate the difficulty participants had differentiating between the tenets when identifying the key ethical leadership characteristics. Moreover, location of the same or similar ethical leadership characteristics within multiple tenets of transformational leadership further indicates interconnectedness within the context of ethical leadership. In addition, the data and literature review collectively indicate ethical leadership characteristics create multiple connections between time periods, frameworks and ideologies. A substantial collection of ethical leadership characteristics found in the literature and the data provide ample opportunities for police executives to focus on the inclusion of ethical leadership principles in agency promotional processes, which are research-based without concern of attempting to limit ethical leadership characteristics to fit a particular leadership philosophy.

Round 2

In Round 2 of the Delphi-study, participants completed a 5-point Likert scale to indicate the level of importance of each identified key ethical leadership characteristic from Round 1, resulting in ranking by mean score. Although participants were

encouraged to make comments on any rating below "neither important or unimportant (3)", no ratings were below "important (4)". In addition, a goal in Round 2 was to pare down the list of 33 identified key ethical leadership characteristics, dropping characteristics with a mean score of less than "4". As a result of no characteristic receiving a mean score of less than "4", the listing was not pared down, and the expert panel deemed all 33 key ethical leadership characteristics at least "important".

I observed the data presented into three tiers by mean score within the tenets of transformational leadership. The three tiers represented the initial ranked assessment of importance of the key ethical leadership characteristics by mean, without any feedback from other participants. The level of consensus was reported as 0.381, indicating weak consensus (Habibi et al., 2014), which provided an initial answer to RQ1. The level of consensus would also serve as a statement of position and inform participants in Round 3, while further evaluating importance and evaluating the level of support and consensus of key ethical leadership characteristics in future agency promotional processes (RQ2).

Tier 1 contained mean scored ratings of "very important (5)". Within tier 1, idealized influence contained three key ethical leadership characteristics; inspirational motivation had two key ethical leadership characteristics; individualized consideration had two key ethical leadership characteristics; and intellectual stimulation had four key ethical leadership characteristics. Identification of tier 1 data may preliminarily indicate areas of focus for practitioners considering inclusion or the bolstering of ethical leadership characteristics within the law enforcement agency.

Round 3

In Round 3 of the Delphi-study participants completed a 5-point Likert scale to indicate the level of importance of key ethical leadership characteristics and level of support to include key ethical leadership characteristics in future agency promotional processes. Although I encouraged participants to make comments on any rating below "neither important or unimportant (3)", no ratings below "important (4)" were achieved in Round 3. I observed the reported mean of the data within three tiers regarding importance: (a) fourteen key ethical leadership characteristics within the four tenets of transformational leadership were rated as "very important" (mean of 5.0); (b) eleven key ethical leadership characteristics within the four tents of transformational leadership were rated between "important" and "very important" (mean of 4.67); (c) eight key ethical leadership characteristics within the four tenets of transformational leadership were rated between "important" and "very important" (mean of 4.33). I reported the level of consensus as $W = 0.447$ equating to weak consensus (Habibi et al., 2014). All 33 identified key ethical leadership characteristics were rated at least "important (4.0)" by participants. The measured 0.447 achieved from Kendall's W should be understood to speak to the lack of consensus between "important" or "very important" within each key ethical leadership characteristic across the data set, instead of a lack of consensus regarding whether the identified key ethical leadership characteristics were deemed important.

Of the 14 key ethical leadership characteristics within tier 1 (very important, mean of 5.0) in Round 3, 10 key ethical leadership characteristics were repeated from Round 2, representing stability of the data for those characteristics between rounds.

No ratings for level of support to include key ethical leadership characteristics in future agency promotional processes received a rating of lower than "supportive (4)". I observed the data within three tiers regarding support: (a) fourteen key ethical leadership characteristics within the four tenets of transformational leadership were rated between "supportive" and "very supportive" (mean of 4.67); (b) seventeen key ethical leadership characteristics within the four tenets of transformational leadership were rated between "supportive" and "very supportive" (mean of 4.33); (c) two key ethical leadership characteristics within the four tents of transformational leadership were rated "supportive" (mean of 4.0). Although support was lower than $W = 0.30$, the threshold for weak consensus (Habibi et al., 2014), all 33 identified key ethical leadership characteristics were rated at least "supportive (4.0)" by participants. The measured 0.286 achieved from Kendall's W should be understood to speak to the lack of consensus between "supportive" or "very supportive" within each key ethical leadership characteristic across the data set, instead of a lack of consensus regarding support for the identified key ethical leadership characteristics in future agency promotional processes.

Table 16 illustrates nine key ethical leadership characteristics receiving the highest support (mean of 4.67), and listed as "very important" (mean of 5.0) in both Round 2 and Round 3. Table 16 illustrates the following categorization: Three key ethical leadership characteristics were listed under idealized influence; one key ethical leadership

characteristic was listed under inspirational motivation; one key ethical leadership

characteristics were listed under individualized consideration; and four key ethical

leadership characteristics were listed under intellectual stimulation.

Table 16

Key Ethical Leadership Characteristics Receiving Highest Support
(Tier 1- Mean of 4.67) and Highest Importance (Tier 1- Mean of 5.0) in Both Round 2
and Round 3

Idealized influence	Inspirational motivation	Individualized consideration	Intellectual stimulation
Integrity, Honesty, Ethical	Empowering	Inclusive	Curiosity, Open-minded, Challenging the status quo, Empowering others

The nine key ethical leadership characteristics listed in Table 16 represent

stability of data between rounds, which were continually rated as "very important (5)",

and received the highest level of support. Collectively, these nine key ethical leadership

characteristics may indicate the highest priority of focus for law enforcement executives,

practitioners, and ethical research in rural law enforcement in the future. Moreover, the

tenets of intellectual stimulation and idealized influence were identified as the tenets with

the greatest number of key ethical leadership characteristics, which may indicate a

preference for leaders as ethical role models that challenge thinking within a law

enforcement organization (Bass & Riggio, 2006; Walz, 2019).

Delimitations of the Study

The delimitations of this study were guided by the research questions, and the theoretical framework. Due to the nature of the research questions, I limited the scope of this study to state police command staff members in the southern United States with the most direct oversight of their agency's promotional process, which resulted in a population of only 16 people. The study did not include any non-state police agencies, such as rural police departments or sheriff's agencies, or any state police agencies not considered as part of the South based on data from the U.S. Census Bureau. The theoretical framework of transformational leadership provided a familiar and accepted leadership style to police executives (Kubala, 2013) from which to identify key ethical characteristics, excluding other potentially less known or underutilized leadership frameworks in policing.

Limitations of the Study

A minimum number of three expert panelists were available to participate in this qualitative Delphi-study out of a population of 16 state police command staff members in the South with the most direct oversight of the agency promotional process. The three command staff members represented approximately 19% of the population with specialized oversight of the agency promotional process. Although the collective opinions of experts limit the impact of individual responses (Okoli & Pawlowski, 2004), other experts may have different opinions regarding identified key ethical leadership characteristics; however, ethical leadership characteristics in the research literature supported the stability of identified key ethical leadership data. Furthermore, the

transferability of the study findings and possible applications to agencies outside of the rural South should be evaluated prior to incorporating.

In addition, the key ethical leadership characteristics of "ethical" and "leadership by example" were identified within the tenets of idealized influence. Based upon the definition of idealized influence by Bass and Riggio (2006) which guided this study, "leadership by example" is synonymous with the tenet of idealized influence, as both indicate role model orientation (Walz, 2019). "Leadership by example" as a key ethical leadership characteristic may only serve to reinforce idealized influence as a tenet instead of informing ethical leadership practice. "Ethical" as a key ethical leadership characteristic is an ideal, an orientation, or philosophical approach, which may be viewed as an innate aspect of each identified characteristic in the study, and therefore does not add to informing ethical leadership practice. During the coding process, more themes may have been more broadly determined initially, such as combining integrity, and ethical within idealized influence.

The study did not attempt to measure or comment on the consensus within individual tiers, as determining interrelated consensus within tiers was beyond the scope of this research study. Moreover, this study did not attempt to group identified key ethical leadership characteristics into categories across the tenets of transformational leadership, as determining categories of key ethical leadership characteristics across the tenets of transformational leadership was beyond the scope of the research.

Two participants mentioned barriers to support of identified key ethical leadership characteristics for police promotions for multiple agencies, which included promotional

processes being established in state laws, collective bargaining, and unions. At least one participant stated barriers to the promotional process guided responses to choose only "supportive (4)" for all identified key ethical leadership characteristics in Round 3.

Schmidt (1997) recommended considering an additional round to break the tie between ranked items; however, one participant had already been a week late in submitting responses due to additional duties since the study began, and there was concern participants may not have the capacity to participate further. Moreover, considering the context of how key ethical leadership characteristics may be used to impact positive social change in rural law enforcement, it may be unlikely rank order within the observed tiers would add any real benefit to practice.

Significance of the Study

The importance of the research into determining key ethical leadership characteristics of state police promotional candidates resulted in three distinct pieces. First, practitioners had a direct opportunity to participate in practical research, which may be put to use within their own agencies. Participant input allowed for focused attention on a limited number of characteristics desired in promotional candidates, potentially saving time, energy, and dwindling resources. Second, exploring key ethical leadership characteristics for state police promotional candidates in the South answered the call by researchers and public officials to: provide proper tools and values to enhance ethical leadership in law enforcement, and enhance relationships between the police and communities (Haberfeld, 2013; Police Executive Research Forum, 2018; Somanader, 2016); provide further investigation into police promotion processes (Barker, 2017;

Hanson & Baker, 2017); further explore the role of leadership (Forsyth & Maranga, 2018; Marques, 2015); and expand research in rural policing (Contessa & Wozniak, 2018; Skaggs & Sun, 2017). Last, this study contributed to applied knowledge during a time when intentional and purposeful ethical leadership must become a cultural norm across the police profession early in the 21st century to legitimize police action to citizens and correspond with community policing practices (Conteras & Bumbak, 2017; Moule, Parry, Burruss & Fox, 2019; Reith, 1952/1975; Stoughton, 2016).

Implications for Social Change

In this study, positive social change is possible through consideration of ethical leadership based training and educational opportunities to align with identified key ethical characteristics that may be a fundamental factor in enhancing the lives of police officers. Through the identification of key ethical leadership characteristics, this study was in direct support of "Pillar One: Building Trust and Legitimacy" from the 2015 *President's Task Force on 21st Century Policing,* which directly addressed procedural justice and police legitimacy. Moreover, this study may facilitate more ethically oriented police promotions, facilitating greater service to the public, which may encourage more public support for the police. Collectively, this research provided additional ethical leadership tools that may enhance safety and build trust within communities.

The unethical actions of a few officers taint the model of service to all people, as unethical actions of the police are statistically low, but have far reaching consequences (Stinson, Liederbach, Lab & Brewer, 2016), and influence every police department and community in the nation. Police administrators, elected officials, and organizations

supporting the police and communities must consider all available tools to work toward positive social change.

Echoing Haberfeld (2013), ethics must be taught and reinforced as a cultural norm in policing from the very beginning to the very end of a police officer's career. By conducting this study, I provided additional tools to enhance ethics reinforcement in policing in the South, which may be evaluated for consideration in areas outside of the South.

Recommendations for Further Study

In this qualitative Delphi study, I began the investigation into key ethical leadership characteristics of state police promotional processes in the South by soliciting the expert opinion of state police command staff members with the most direct oversight of the agency promotional process. Research may continue along similar lines by investigating ethical leadership characteristics in other regions in the U.S., specifically in the West, due to the West consistently having the second highest number of officers killed by felonious assault, behind the South (F.B.I. n.d.a.). The high number of felonious assaults indicates a further need for research in general to inform law enforcement operations and benefit law enforcement officers and the community.

Opportunities also remain to investigate key ethical characteristics which are viewed as highly desirable for specific supervisory ranks from the perspectives of multiple supervisory ranks, civilians, or members of the community in order to address the gap of knowledge concerning ethical leadership in law enforcement promotional processes, which may be suitable for practical application. Moreover, researchers may

investigate ethical characteristics through other heavily researched theoretical leadership lenses including servant leadership, spiritual leadership, authentic leadership, and situational leadership.

I join other researchers in recommending research into how advancing ethical leadership should be evaluated and implemented internally within police departments regarding recruitment, selection, training, and promotion, and how agencies care for officers to address inconsistencies in policing communities across the United States (Barker, 2017; Conroy & Bostrom, 2006; Conteras & Bumbak, 2017; Deal, 2014; Haberfeld, 2013; Hanson & Baker, 2017; Thomas, 2019). Moreover, to further ethical leadership development, I believe there is an opportunity to continue to research, develop, and expand the use of peer-informed promotional evaluations using key ethical leadership characteristics as part of law enforcement promotion processes. Many police agencies continue to rely on written tests, supervisory assessments, and task-oriented assessment centers to determine promotion without intentionally incorporating ethical components, resulting in officers being promoted with unknown or unproven character attributes (Barker, 2017; Hanson & Baker, 2017; Poitras, 2017). A peer-informed assessment would grant voice to peers in determining agency leadership, and peers may have the most intimate knowledge of the ethical characteristics of promotional candidates. In addition, there are opportunities to investigate whether other stakeholders, such as crime victims, public officials, and members of the general public may have input into determining which officers should be promoted based upon the observed behavior of officers. The research literature has emphasized the need for continued practical reforms

related to ethics in policing (Durr, 2015; Nix, 2017; Stoughton, 2016; Thomas, 2019), and investigation of a peer-review component, and possibly including feedback from other stakeholders may be practical for leadership evaluation in the future.

In this study, two participants mentioned barriers to support identified key ethical leadership characteristics for police promotions for multiple agencies, which included promotional processes being strictly governed in state laws, collective bargaining, and unions. At least one participant stated barriers to the promotional process guided responses of only "supportive (4)" of all key ethical leadership characteristics in Round 3. It would be beneficial to document what barriers exist for police agencies, or selected segments of police agencies, to better understand what changes may be necessary, and how changes may be addressed to implement more ethical tools within police promotional processes.

Conclusions

In this qualitative Delphi study, I was among the first researchers to investigate key ethical leadership characteristics of police promotional candidates, and the first researcher to investigate key ethical leadership characteristics of state police promotional candidates in the South. I successfully achieved the purpose of the research study by identifying 33 key ethical leadership characteristics in state police promotional candidates in the South using a transformational leadership theoretical framework. In this study, I reported weak consensus of key ethical leadership characteristics as measured by Kendall's W to answer RQ1, and below weak consensus regarding the level of support to

include key ethical leadership characteristics in future agency promotional processes to answer RQ 2 (Habibi et al., 2014).

There were two distinct pieces highlighting the importance of determining the key ethical leadership characteristics of state police promotional candidates. First, practitioners had a direct opportunity to participate in practical research, which may be may be considered for practical application in their own agencies. Participant input allowed for focused attention on a limited number of characteristics desired in state police promotional candidates, potentially protecting limited resources. Second, investigating key ethical leadership characteristics of state police promotional candidates in the South provided practical knowledge to researchers and public officials to: consider additional proper tools and values to enhance ethical leadership in law enforcement, and strengthen relationships in police and community partnerships (Haberfeld, 2013; Police Executive Research Forum, 2018; Somanader, 2016); provide further research into police promotional systems (Barker, 2017; Hanson & Baker, 2017); further examine leadership dynamics (Forsyth & Maranga, 2018; Marques, 2015); and contribute to limited rural policing research (Contessa & Wozniak, 2018; Skaggs & Sun, 2017).

I discussed the key findings of the study in each round. The key findings in Round 1 were twofold. First, identifying the 33 key ethical leadership characteristics was the first required step to be able to evaluate the level of consensus of those characteristics (RQ1) and determine support for those characteristics in future agency promotional processes (RQ2) in future rounds. Second, the same key ethical leadership characteristics

identified within different tenets of transformational leadership highlights the

interconnectedness of the tenets within transformational leadership theory.

I discussed the key findings in Round 2 noting how the data presented within

three distinct tiers by mean score. The data indicated how participants may eventually

rate the importance of each key ethical leadership characteristic. I noted Kendall's *W*

regarding importance indicated weak consensus (Habibi et al., 2014). The initial stage of

consensus of key ethical leadership characteristics (RQ1) had been accomplished, and the

degree of consensus of support to incorporate identified key ethical leadership

characteristics in future agency promotional processes (RQ2) would be evaluated in

Round 3.

The key findings in Round 3 were fourfold. First, I observed the data regarding

importance and support presented in three tiers, with all data indicating mean scores

above "important (4)", and at least "supportive (4)". Second, the degree of consensus of

key ethical leadership characteristics was accomplished, measured at 0.447 (weak

consensus) by Kendall's *W*, which answered (RQ1) (Habibi et al., 2014). Third, the

degree of consensus of participating command staff members supporting the

incorporation of key ethical leadership characteristics into future agency promotional

processes was measured at 0.286 (below weak consensus) by Kendall's *W*, which

answered (RQ2) (Habibi et al., 2014). Last, the measured weak consensus for RQ1 and

below weak consensus for RQ2 should be realized to mean weak consensus between

"important" and "very important" for RQ1, and below weak consensus between

"supportive" and "very supportive" for RQ2. All 33 identified key ethical leadership characteristics were deemed important and were supported by participants.

Although only a minimum number of three expert panel members were available for this study, I located all 33 key ethical leadership characteristics, or comparable characteristics, within the research literature review, which adds to the stability of the data, and credibility and dependability of the study. All 33 key ethical characteristics had mean scores ranking higher than "important (4)" in both Round 2 and Round 3, and all 33 key ethical leadership characteristics were ranked at least "supportive (4)" by participants in Round 3, resulting in data presenting into three distinct tiers by mean. The distinction of the tiers may inform prioritization for practical use by rural police leadership and be considered for further research.

Ethical leadership training and educational opportunities which align with identified key ethical leadership characteristics may inform and facilitate positive social change. Moreover, stronger ethical orientation of police supervisors may enhance public service, which may provide enhanced public support for the police. Collectively, this research may facilitate enhanced safety and trust within communities through the identification and proposed prioritization of key ethical leadership characteristics.

I obtained trustworthiness in this study by establishing credibility, transferability, dependability, and confirmability throughout the research process. In this study, I obtained credibility through member-checking, providing demographic information, and locating all identified key ethical leadership characteristics in the research literature. I obtained transferability through detailed descriptions of the research process in context,

which may be considered by scholars and administrators outside of the South. I obtained

dependability through triangulation, documenting logical procedures during data

collection and analysis of data, and the stability of the data through the finding of

comparable ethical leadership characteristics in the research literature. I established

confirmability through member checking, researcher reflexivity, and peer debriefing.

Forty years into the community policing era, law enforcement must continue to

work towards engagement with the community and include stakeholders in a partnership

to re-orient reform-era thinking (Contreras & Bumbak, 2017; Gaines & Kappeler, 2015;

Thomas, 2019). Much as it was stated almost 100 years ago in reports from the

Wickersham Commission, expert leadership and higher standards of personnel are still

needed in policing (Bennett & Hess, 2004; Gaines & Kappeler, 2015). Other

shortcomings of community policing include the failure to recognize the public as

stakeholders, inability to deal with excessive force, inability to properly supervise

officers, and inability to gain the trust of minorities communities, which are evident from:

the 1991 Christopher Commission (L.A.P.D.); 1992 Mollen Commission (N.Y.P.D.); the

2000 Rampart Scandal Review (L.A.P.D.) (Thomas, 2019); the Department of Justice's

(2015a) investigation into the Ferguson Police Department in 2014; and the video

recorded death of George Floyd by a Minneapolis police officer in 2020.

As Presidents G.W. Bush and Obama stated in 2016, the nation's police officers

must have the proper tools and values to be able to enhance relationships with

communities (Higgins, 2016; Somanader, 2016). Moreover, a host of researchers have

continued to call for realignment of attitudes and perceptions of the police with the public

to address both social problems and crime (Conteras & Bumbak, 2017; Durr, 2015, Moule et al., 2019; Nix, 2017; Potter, 2013; Rukus, Warner, & Zhang, 2018; Stoughton, 2016; Thomas, 2019). It is now incumbent on governments and police agencies across the United States to seek out research to facilitate the proper selection, training, education, and promotion of police officers with ethical leadership characteristics to provide opportunities for positive social change, which may enhance the lives of police officers and members of the community. Reorienting police promotional systems with intentionality concerning ethical characteristics may enhance relationships, build trust, and allow police administrators more time to focus on the needs of personnel and the community in a true community policing model.

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Appendix A: IRB Permission to Contact Police Agencies

David Hay
Mon 7/23/2018 11:42 AM
IRB;
Ernesto Escobedo;
xxxx@gmail.com
Prospectus Hay David Student #AXXXX

Dear IRB,
I have a tentatively approved prospectus while awaiting on University approval of my second committee member. I wanted to know at what stage may I gauge preliminary interest from law enforcement agencies that may decide to participate in my study. I understand anything official would occur after an approved proposal.
My goal, when approved, would be to reach out to the executive leader/ command staff members of the 16 state police agencies in the South. I would like to determine if the agency would be likely to support my research endeavor by allowing the command staff member overseeing agency promotions to participate in an anonymous, remote, panel questionnaire (Delphi study). I have spoken with the Executive Director of the American Association of State Troopers (not participating in the research) and he has graciously offered to write a letter of support for my research endeavor. May I mention this AAST support to the prospective law enforcement agencies? Obviously, if a number of agencies are not willing to participate, I would need to adjust my research goals. No questionnaire for this research has been developed, and no data would be collected in any discussion with prospective police agencies/ agency members. I am attaching my prospectus for review if needed. Please let me know if anything else is needed in the consideration of this request.
Thank you,
David Hay
Student # AXXXX

Hi David,
You can reach out to potential partner organizations at any time to ascertain what may be needed for their approval.
Best,
Bryn Saunders
Research Ethics Support Specialist
Office of Research Ethics and Compliance
Email: irb@xxxxxx.edu
Phone: (612-)312-XXXX
Fax: (626-)605-XXXX
Walden University
100 Washington Ave. S, Suite 900
Minneapolis, MN 55401

Appendix B: Consent Form

You are invited to take part in a research study to identify key ethical leadership characteristics of state police promotional candidates in the southern region of the United States. This study will seek the expert opinion of participants during three rounds of the study to build consensus among experts in the South. The researcher is inviting state police command staff members with direct oversight of the agency promotional process in the South to participate in this study. Your name and contact information was obtained through your commissioner/ superintendent. This form is part of a process called "informed consent" to allow you to understand this study before deciding whether to take part in the study.

This study is being conducted by a researcher named David Hay, who is a doctoral student at Walden University. You may already know the researcher as a retired state police captain, but this study is separate from that role.

Background Information:
The purpose of this study is to identify key ethical characteristics of state police promotional candidates in the South from the perspective of command staff members with direct oversight of the agency promotional process.

Procedures:
If you agree to be in this study, you will be asked to:
- Reply to this email with the words, "I consent". The email address is: David.hay@xxxxxx.edu

- Complete a short demographics questionnaire, which is estimated to take approximately 2-3 minutes.

- Participate in 3 different rounds of the study, which is estimated to take approximately 20-40 minutes for each round. Prior to Round 2, the researcher will contact you via email to verify your responses from Round 1, ensuring your responses are well understood. This verification process is expected to take 5-15 minutes of your time. The study is expected to occur over a period of 10 weeks, with participants providing responses for each round over the course of one week (5 days). The normal schedule will be for information to be sent to participants on a Monday, and a response to be received by the researcher on Friday of the same week (5 days). The time of the study is extended due to approximately 20 days of wait time for Institutional Review Board (IRB) approval of Round 2, and Round 3 questionnaires, which must be created from participant data obtained from earlier rounds.

- If participants do not respond in any phase of the study prior to day 4, an email will be sent from the researcher indicating there is still time to participate in the study. If a response is not received from the participant by the end of day 5, the participant will be considered to have dropped out of the study.

- In Round 1: You will be asked to create a list of key ethical characteristics in the context of the four tenets of transformational leadership- idealized influence, inspirational motivation, individualized consideration, and intellectual stimulation, and provide a brief statement describing the characteristic, and why that characteristic was chosen. A separate definition/ information sheet will be provided to assist in this process.

- Prior to Round 2 (Member-checking): From information you provided in Round 1, the researcher will code your list into categories, send the coded categories to you for each question via email, and ask if your answers have been understood by the researcher. Any corrections will be made to capture the data properly.

- In Round 2: You will be provided a list of information gathered during Round 1 from all participants, with associated comments from participants for your review and consideration. Using a Likert scale, you will be asked to rate the importance of identified ethical characteristics.

- In Round 3: You will be provided a paired down list based upon the group response from Round 2, and provided with descriptive statistical information about the data. You will be asked again to rate the importance of identified ethical characteristics, and also asked to rate the degree of your support for inclusion of those ethical characteristics into your agency's future promotional processes in light of feedback obtained from other experts.

- It is expected either strong consensus will be obtained, or consensus will have leveled off within 3 rounds among experts, and nothing further would be asked of participants. If after Round 3, the study has not reached strong consensus, or a leveling off, the researcher may ask participants if they are willing to participate in a 4th and final round.

Here are the four questions that will be asked in Round 1:

1) What are the key ethical leadership characteristics for state police promotional candidates in the context of idealized influence?

2) What are the key ethical leadership characteristics for state police promotional candidates in the context of inspirational motivation?

3) What are the key ethical leadership characteristics for state police promotional candidates in the context of individualized consideration?

4) What are the key ethical leadership characteristics for state police promotional candidates in the context of intellectual stimulation?

Voluntary Nature of the Study:
This study is voluntary. You are free to accept or turn down the invitation. No one will treat you differently if you decide not to participate in the study. If you decide to participate in the study now, you can still change your mind later. You may stop participating at any time. All participants returning consent forms will be included in this research study.

Risks and Benefits of Being in the Study:
Being in this type of study involves some risk of the minor discomforts that can be encountered in daily life, such as having to read instructions and referencing documents to complete stages of the study, and taking an estimated 20-40 minutes during each round.

The benefits of the study include addressing a gap in the research literature, which may provide a means to further facilitate ethical leadership within state and rural police organizations. This study may be useful to inform choices regarding promotional material updates, revisions, and be seen as a source providing research-based support for character evaluation of future promotional candidates. Positive social change is possible through considerations of ethical leadership based training and educational opportunities to align with key ethical characteristics that may be a fundamental factor in enhancing the lives of members of police agencies. Ultimately, this research may provide a means to facilitate greater service to the public, and more public support for the police in an attempt to enhance safety within communities.

Payment:
No compensation will be received for participation in the study.

Privacy:
Reports coming out of this study will not share the identities of individual participants or agencies. Details that might identify participants, such as specific demographic information will be closely evaluated, and certain demographics will be withheld that may identify individuals, which may include gender, level of education, and years of service as examples. The researcher will only have access to names and contact information of participants, and will not disclose this personal information for any purpose outside of this research project. Data will be kept secure by keeping all participant data encrypted with password protection in a separate file, with the password

known only to the researcher. Data will be kept for a period of at least 5 years, as required by the university.

Contacts and Questions:

You may ask any questions you have now, or later, by contacting the researcher via email at David.hay@xxxxxx.edu, or text/ call at (859) XXX-XXXX. If you want to talk privately about your rights as a participant, you can call the Research Participant Advocate at Walden University at (612) 312-1210. Walden University's approval number for this study is **12-02-19-0174069** and it expires on **December 1, 2020.**

Please print or save this consent form for your records.

Obtaining Your Consent

If you feel you understand the study well enough to make a decision about participating, please indicate your consent by replying to this email with the words, "I consent" <u>within 5 days of receipt of this email.</u>

Thank you,
David Hay
Doctoral Student
Walden University

This has been approved by the Institutional Review Board of WALDEN UNIVERSITY as acceptable documentation of the informed consent process and is valid for one year after the stamped date.
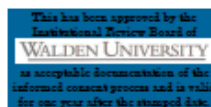
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Appendix C: The Nature of the Problem and Significance of the Research

This study is being conducted to fill a gap in the research regarding key ethical leadership characteristics of state police promotional candidates in the South. To date, no research has been identified which focuses on the promotion of ethical police officers. Previous researches have noted the high departmental and societal impact of unethical police conduct (Haberfeld, 2013; Stinson, Liederbach, Lab, & Brewer, 2016), and the lack of ethical leadership criteria, which has contributed to officers being promoted with unknown or unproven character attributes (Barker, 2017; Hanson & Baker, 2017; Poitras, 2017). The lack of applied knowledge and criteria concerning ethical leadership in police promotional processes is occurring at a time when the continued unethical conduct of police officers is negatively impacting the police profession (Stinson et al., 2016), and ethical leadership will be needed to face the growing challenges in modern policing (Barker,2017; Haberfeld, 2013; Police Executive Research Forum, 2018). This research will result in an expert panel identifying key ethical leadership characteristics of state police promotional candidates in the South, which may be used to inform choices regarding promotional material updates, revisions, and may be a source providing research-based support for character attribute evaluation of future promotional candidates. Ultimately, this research may provide a means to facilitate greater service to the public, and more public support for the police in an attempt to enhance safety within communities.

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Appendix D: Letter of Support from AAST

September 12, 2019

Captain (ret) David Hay

Dear Captain Hay:

It is my pleasure by way of this correspondence to endorse your Doctoral Research Dissertation to address the need for research of rural police agencies, specifically State Police and Highway patrol agencies in the mid-west and southeast regions of the United States. Moreover, I believe it pertinent and a worthy endeavor to research the lack of and need for Ethical Police Training and its incorporation as a desired and measured trait within promotional processes.

While it is acknowledged that as personnel and human resources practices have evolved over time, they are not yet a "exact science" for selecting police officers or promoting them to positions of leadership. However, more research is warranted to ensure the proper elements comprised in a promotional process are job related, objective, and predictable of the candidate's potential for successful performance of their respective rank.

A fact frequently overlooked in the police service and community today, is the important role State Troopers contribute to the safety and security of our communities. While local police agencies and their officers are ridiculed, attacked and their legitimacy questioned; State Troopers remain recognized as "legitimate Peace Officers" who practice appropriate "procedural justice".

I applaud your work and willingness to embrace this endeavor. I am confident (having known you for twenty-five (25) years) that your finished product will be profound and extremely helpful to all State Police and Highway Patrol agencies across the country.

Sincerely,

Tim Hazlette
Executive Director

Appendix E: Four Tenets of Transformational Leadership

Please refer to this definition page to assist you in filling out the questionnaire in round 1, and as needed during subsequent rounds of the research study.

Ethical leadership characteristics: Qualities of a person able to be observed through behavior, which express socialized virtues with helpful intentions (Bass, 2008; Rathore & Singh, 2018; Yukl, Mahsud, Hassan, & Prussia, 2013).

The following four tenets of transformational leadership are presented as defined by Bass and Riggio (2006), and Bass (2008).

1) Idealized influence

A leader's behavior/ characteristics that exhibit leading by example with a strong sense of purpose, while promoting self-worth in others, and influencing others to strive to meet the needs of the organization/ society. A leader with idealized influence has a collective sense of mission, and reassures others obstacles can be overcome.

2) Inspirational motivation

A leader's behavior/ characteristics that motivate and inspire others by providing meaning and a vision for the future. A leader with inspirational motivation can clearly communicate expectations that followers want to meet, while demonstrating a commitment to goals.

3) Individualized consideration

A leader's behavior/ characteristics that provide for the achievement and growth in others, through coaching and mentoring, while recognizing individual needs, and creating new learning opportunities in a supportive climate. A leader with individualized consideration will recognize people as a "whole person", remembers previous conversations, and listens effectively.

4) Intellectual stimulation

A leaders' behavior/ characteristics that encourages creativity to question assumptions, reframe problems, and approach old situations in new ways and from multiple perspectives. A leader with intellectual stimulation does not criticize ideas which differ from his/her own.

References

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Yukl, G., Mahsud, R., Hassan, S., & Prussia, G.E. (2013). An improved measure of ethical leadership. *Journal of Leadership & Organizational Studies, 20(1), 38-48*, doi:10.1177/1548051811429352.

Appendix F: Round 1 Questionnaire

This form is an open-ended questionnaire consisting of four questions that will be used to document the responses of the participants, and build subsequent questionnaires during the study. The questions below are asking for your expert opinion, which will ultimately create consensus of a list of key ethical leadership characteristics for state police promotional candidates in the South. The context of the list will be based on the four tenets of transformational leadership.

Participants are encouraged to:
- List at least three characteristics per question.
- Provide a brief explanation of the characteristic for each tenet of transformational leadership.
- Provide a brief explanation of why the characteristic was chosen (why the characteristic is important from your perspective as a key characteristic).

The explanation of the characteristic and why it was chosen will assist the researcher and other participants during subsequent rounds of the study to understand the meaning of the characteristic, and the thinking behind choosing each characteristic as a key ethical leadership component. It is recommended participants use the definitions of the four tenets of transformational leadership as a reference while filling out the questionnaire (email attachment- Appendix E). After the completed questionnaire is returned via email to the researcher, the researcher will be verifying the questionnaire responses with you prior to continuing the study.
If there are any questions please contact the researcher at David.hay@xxxxxx.edu.

1) What are the key ethical leadership characteristics for state police promotional candidates in the context of **idealized influence**?

2) What are the key ethical leadership characteristics for state police promotional candidates in the context of **inspirational motivation**?

3) What are the key ethical leadership characteristics for state police promotional candidates in the context of **individualized consideration?**

4) What are the key ethical leadership characteristics for state police promotional candidates in the context of **intellectual stimulation**?

Appendix G: Sample Letter of Cooperation

Director/ Superintendent/ Commissioner
State Police Law Enforcement Agency
P.O. Box XXXX
City, State- Zip code

Date:
Dear David Hay,

Based on my review of your research proposal, I give permission for you to conduct the study entitled <u>Key ethical leadership characteristics of state police promotional candidates in the South</u> within the <u>State Police Law Enforcement Agency</u>. As part of this study, I authorize you to contact the command staff member/ executive staff with the most direct oversight of the agency promotional process to determine if that member would be interested in participating. The individual named below is a current member of the command staff, and either the first line supervisor of the person in charge of the agency promotional process, or directly oversees the agency promotional process. Individual participation will be voluntary and at the discretion of the individual command/ executive officer. The contact information for the command staff member/ executive staff you have inquired about is:

Rank/ Name: Email address:
Mailing address: Work phone number:

We understand that our organization's responsibilities include: the participant responding to emails during the course of the study (one time per week) during the expected 3 rounds of the study. We reserve the right to withdraw from the study at any time if our circumstances change.

I understand you will not be naming our organization in the doctoral project report that is published in ProQuest, or other publications. I understand you will provide a summary of your research to participants, as well as offer a copy of the completed dissertation after publication.

I confirm that I am authorized to approve research in this setting and that this plan complies with the organization's policies.

I understand that the data collected will remain entirely confidential and may not be provided to anyone outside of the student's supervising faculty/staff without permission from the Walden University IRB.

Sincerely,
Authorization Official

Walden University policy on electronic signatures: An electronic signature is just as valid as a written signature as long as both parties have agreed to conduct the transaction electronically. Electronic signatures are regulated by the Uniform Electronic Transactions Act. Electronic signatures are only valid when the signer is either (a) the sender of the email, or (b) copied on the email containing the signed document. Legally an "electronic signature" can be the person's typed name, their email address, or any other identifying marker. Walden University staff verify any electronic signatures that do not originate from a password-protected source (i.e., an email address officially on file with Walden).

Appendix H: Sample Letter to Chief Law Enforcement Executive

Dear Director/ Superintendent/ Commissioner,

My name is David Hay, and I am a doctoral student at Walden University. This letter is a request to allow me to contact a member of your executive staff, who most directly oversees the agency promotional process, and solicit participation in a study, which may be useful to state police and rural police agencies, as well as assisting me to complete my dissertation. I also sent you an email, but with all the email SPAM, I was concerned the email may be filtered, or missed, and wanted to follow- up with a letter.

The purpose of my research is to identify key ethical leadership characteristics of state police promotional candidates in the South. If your executive staff member agrees to participate, the confidential responses to research questions will help establish a list of key ethical leadership characteristics with other state police command level officers from other states, whom will be anonymous to each other. The information provided will be published in my dissertation with no mention of names or agencies.

As a retired state police captain from a southern state, I understand your time is valuable. I have enclosed a letter of support of my research from the American Association of State Troopers for your review, which indicates the study may be worthy of your agency's time. Also enclosed is a letter of cooperation, which, when completed and returned will grant me permission to solicit participation from a member of your executive staff with the most direct oversight of the agency promotional process. If I have your cooperation, please email a completed and signed letter of cooperation to IRB@xxxxxx.edu and David.hay@xxxxxx.edu within 30 days of receipt of this correspondence. (If needed, I am happy to resend a copy of the original email to you. Please contact me via email or the phone number listed below.) Please include the following contact information of the current command staff member whom is either the first line supervisor of the person in charge of the agency promotional process, or directly oversees the agency promotional process in the letter of cooperation.

Rank/ Name:
Email address:
Mailing address:
Work phone number:

If you have any questions, please feel free to email me at David.hay@xxxxxx.edu or call/text (859) XXX-XXXX anytime. If your agency is not able to participate, thank you for taking the time to review this letter.

Respectfully,
David Hay
Doctoral student, Walden University

Appendix I: Demographics Questionnaire

The demographics questionnaire is estimated to take 2-3 minutes to complete.
The first two questions are filtering questions to make sure your position is aligned with the purpose of the research study.
Additional questions are to assist with the credibility of the study; however, any demographic information which may be deducible would be withheld as isolated data. For example, due to law enforcement being a predominately male occupation, gender will not be reported in the study, as there may only be one or two command officers in the entire study population that are female. An additional example may be if only one or two participants have a doctorate degree, but most participants had a master's degree. Instead of reporting the doctoral degree as isolated data, the demographics would report the educational level of master's degree or higher. Please feel free to answer all questions as briefly as possible.

If you have any questions or concerns before completing the demographics questionnaire, please contact the researcher at David.hay@xxxxxx.edu, or (859) XXX-XXXX.
<u>Please answer the following demographic questions by typing answers at the end of each question, or replying back to the email.</u>

1) Are you a member of your agency's command/ executive staff?
2) Are you the first line supervisor of the person who is in charge of your agency's promotional process (i.e., the command level staff member with the most direct oversight of the agency promotional process), or a command level officer that directly oversees the agency promotional process?

If you **were not** able to answer "yes" to both questions #1 and #2, please stop answering the demographics questions and contact the researcher at David.hay@xxxxxx.edu, or (859) XXX-XXXX, as it appears your position at your agency may not align with the purpose of the research study.

If you were able to answer "yes" to both questions #1 and #2, please continue answering the following questions.

3) How many years of civilian service do you have with your agency?
4) How many years of sworn law enforcement service do you have?
5) How many years of sworn law enforcement supervisory experience do you have?
6) How long have you been a member of the command/ executive staff in your agency?
7) What is the highest educational level you have obtained?
8) Have you served as an evaluator/ facilitator in the promotional processes of other police agencies?
9) Have you contributed to, or recommended any agency policy changes in your agency's promotional process?
10) Have you contributed to any professional or scholarly publications in the field of criminal justice, or management/ leadership?
11) Would you say your agency practices transformational leadership?
12) Please indicate any command level schools you have attended (including but not limited to: F.B.I. Academy, Southern Police Institute, Northwestern Command School of Executive Management)

Appendix J: There is Still Time to Participate Email

Dear Participant,

Thank you for your consent and current participation in this doctoral research study. The current phase of the research study will be ending tomorrow, on day 5. I just wanted to contact you, and let you know there is still time to submit information to participate in the research study, and also remind you I am happy to answer any questions you may have regarding the study. If you have already responded this week, thank you very much, and please disregard this reminder email.

If you have questions, please feel free to call me (859) XXX-XXXX, or email (David.hay@xxxxxx.edu). I appreciate your time, and look forward to hearing from you.

Respectfully,
David

David Hay
Doctoral Student
Walden University

Appendix K: Email Solicitation to Potential Participants

Dear Executive Staff Member, (Rank/title, name to be inserted after IRB approval)

My name is David Hay, and I am a doctoral student at Walden University. This email is an invitation to participate in a study, which may be useful to state police and rural police agencies, as well as assisting me to complete my dissertation. I have received permission from your commissioner/ superintendent to contact you for this research project.

The purpose of my research is to identify key ethical leadership characteristics of state police promotional candidates in the South. Your confidential responses to research questions will help establish a list of key ethical leadership characteristics with other state police command level officers, whom will remain anonymous to each other. The information provided will be published in my dissertation with no mention of names or agencies.

As a retired state police captain, I understand your time is valuable. I have attached a letter of support of my research from the American Association of State Troopers for your review, which indicates the study may be worthy of your time. Also attached to this email is a consent form, which provides a complete overview of the study.

After reviewing the consent form, if you are willing to participate in the study, please reply to this email with the words "I consent". If you are not able to participate, thank you for taking the time to review this email.

If you do consent to participate in the study, additional information/ materials will be sent to you in the upcoming days. If you have any questions, please feel free to email me at David.hay@xxxxxx.edu or call/text (859) XXX-XXXX anytime.

Respectfully,

David Hay
Doctoral Student
Walden University

Appendix L: Participant Update Email Template

Dear Participant,

Thank you again for your continued participation in this doctoral research study. I appreciate your expertise and time. This email is to inform you of expected progress of the study.

The study is now entering (upcoming stage, i.e., Institutional Review Board approval), which is expected for a period of (time, i.e., 10 days). The following stage (i.e., beginning of Round 2 of the Delphi study) is expected to begin on (date). I want to keep you well informed during this study, and be respectful of your time.

If you have any questions, please feel free to call (859) XXX-XXXX, or email me at (David.hay@xxxxxx.edu).

Respectfully,

David

David Hay
Doctoral Student
Walden University

Appendix M: Round 2 Questionnaire

Please rate the importance of the following identified key ethical leadership characteristics for state police promotional candidates from Round 1 of the Delphi-study.

Idealized Influence

1) **Supportive-** Supportive leaders encourage their staff to strive toward the goal regardless of the circumstances, whether the path is challenging or smooth. Most people want to feel like their efforts are appreciated and they are contributing to the organization or to the mission.

Very unimportant (1) Unimportant (2) Neither important or unimportant (3) Important (4) Very Important (5)

2) **Integrity-** Leaders with integrity demonstrate ethics and upstanding behavior both professionally and personally. Staff and the community can trust leaders who have integrity, which is of utmost importance in a police profession.

Very unimportant (1) Unimportant (2) Neither important or unimportant (3) Important (4) Very Important (5)

3) **Predictability-** Leaders should be predictable in the sense that they are not prone to uncontrolled outbursts of strong emotion, especially negative emotions. When faced with challenges or unexpected events, staff should know their leader will respond with an appropriate demeanor. Being predictable in this way builds trust with the staff. Being unpredictable can be destructive and prevent the staff from even wanting to strive toward any goal set by the leader or the organization.

Very unimportant (1) Unimportant (2) Neither important or unimportant (3) Important (4) Very Important (5)

4) **Respect for others-** Value for others through temperance, fairness and courtesy. Police work is often a very isolated job in which most agencies pair a new officer with a seasoned officer (leader). The development of the new officer at this point is important in so many ways, but ethical influence is extremely critical. The new officer must trust the person from whom they receive instruction and this starts with the seasoned officer showing respect to others. This is where the promotion of self-worth in others and the observation of a person's behavior and qualities is best witnessed.

Very unimportant (1) Unimportant (2) Neither important or unimportant (3) Important (4) Very Important (5)

5) **Honesty-** Trustworthiness and sincerity in accordance with experience.

Very unimportant (1) Unimportant (2) Neither important or unimportant (3) Important (4) Very Important (5)

6) **Leadership by example-** This characteristic is influential and reassuring. It is the "tell all" of behavior that is not quite visible. This characteristic will give others a personal desire to follow this leader and encourage others to develop their own self-worth and reassurance they will be successful in overcoming obstacles if they follow a similar behavior.

Very unimportant (1) Unimportant (2) Neither important or unimportant (3) Important (4) Very Important (5)

7) **Ethical**- A powerful indicator of strength of character. This character trait is also influential toward the behavior of others. If successful, the value of this influence on others, especially within police work, is immeasurable. Ethical Leaders should not be afraid to be the example and do what is "right" and should have the expectation of others to do the same, no matter how difficult or unpopular the action.

Very unimportant (1) Unimportant (2)   Neither important or unimportant (3)   Important (4)   Very Important (5)

8) **Fairness**- An essential attribute of impartiality, and free from self-interest. Fairness also requires consideration for cultural and ethnic diversity.

Very unimportant (1) Unimportant (2)   Neither important or unimportant (3)   Important (4)   Very Important (5)

Inspirational Motivation

9) **Collaborative-** Working together with others toward a common goal. Working in a collaborative manner with their staff, leaders instill personal ownership in the goal and the manner in which the organization will meet the goal. Through successful collaboration, the staff will understand how they fit into the organization and how their contribution is important to the overall mission and goals. Encouraging individual units to work in teams requires a leader to display trustworthiness and indicate the top priority is the success of the agency working in harmony, not the personal success of the individual leader. The success of the team will inspire individuals to build relationships within the community.

Very unimportant (1) Unimportant (2)   Neither important or unimportant (3)   Important (4)   Very Important (5)

10) **Empowering-** Leaders who empower their staff give them control and ownership of their roles in the mission. Empowered staff feel enabled to take actions that will make a difference. They can become confident in their abilities and even take risks, learning which risks are worth taking.

Very unimportant (1) Unimportant (2)   Neither important or unimportant (3)   Important (4)   Very Important (5)

11) – **Optimistic-** Optimistic leaders are hopeful and confident about the future. Practicing optimism is empowering. It feeds the energy level of the staff and keeps them moving forward. Even when a setback occurs, the leader must correct course with an appropriate measure of optimism so the staff and organization continue to strive for success.

Very unimportant (1) Unimportant (2)   Neither important or unimportant (3)   Important (4)   Very Important (5)

12) **Effective communication** – Police work has multiple lines of communication and ensuring the lines are clear and others' ideas are valued will encourage feedback, which contributes to the common goal. Inspirational leaders understand taking the time to effectively communicate ensures that everyone better understands expectations, which enables them to be on board and moving in the same/right direction.

Very unimportant (1) Unimportant (2)   Neither important or unimportant (3)   Important (4)   Very Important (5)

13) **Inspiring a shared vision**- Envisioning the future by imagining exciting and noble possibilities and enlisting others by appealing to shared aspirations.

Very unimportant (1) Unimportant (2)   Neither important or unimportant (3)   Important (4)   Very Important (5)

14) **Competent**- A leader's track record and ability to getting things done. Competence is relative to the leader's position within the organization. A leader on the front lines would need leadership proficiency in dealing with direct interaction with the public and the fundamentals of police work; while a leader at the strategic level would have to be competent in strategic planning and policy making. Each of these traits have their place in the organization; however, the strategic leader, in addition to relevant competencies, would still be required to have fundamental skills, especially in law enforcement.

Very unimportant (1) Unimportant (2)   Neither important or unimportant (3)   Important (4)   Very Important (5)

15) **Forward looking**- Leaders must be able to communicate goals and a strategic outlook for themselves and the organization. Others will not follow a leader who has no sense of where he/she is leading.

Very unimportant (1) Unimportant (2)   Neither important or unimportant (3)   Important (4)   Very Important (5)

16) **Encourages initiative**- Police work presents challenges with regard to achieving goals, especially when the success of such goals are difficult to measure. An inspiring leader should be able to communicate expectations toward specific goals; however, they should encourage, through words and action, initiative in individuals with regard to reaching those goals.

Very unimportant (1) Unimportant (2)   Neither important or unimportant (3)   Important (4)   Very Important (5)

Individualized Consideration

17) **Inclusive-** An inclusive leader welcomes all types of people and differing opinions. Leaders recognize that everyone probably has strengths that can benefit the organization or contribute to the mission. The leader must be able and willing to look past group-think prejudices to identify individual gifts and talents. When leaders identify an individual's gifts and talents, the leader can apply them where they are most effective and also develop weaker skills and traits.

Very unimportant (1) Unimportant (2)   Neither important or unimportant (3)   Important (4)   Very Important (5)

18) **Exhibits personal interest in others-** A leader has to be comfortable engaging with individual members of their staff on an appropriately personal level. The staff member needs to feel known by the leader. To identify strengths, help the staff member develop, and to build trust, the leader has to be able to hold a meaningful conversation with them beyond the nuts and bolts of every day work life. It is challenging to understand individual needs and/or individual learning methods due the nature of police work and a desire by some to fit into an "expected image." To be successful, leaders should exhibit personal interest in the people they lead. If this is accomplished, leaders are able to better understand individual differences and by understanding those differences, they can properly allocate control and empower others.

Very unimportant (1) Unimportant (2)   Neither important or unimportant (3)   Important (4)   Very Important (5)

19) **Empathy-** Empathetic leaders are capable of understanding their staff members' points of view and motives. When the empathetic leader understands their staff members' motives and their needs, the leader can determine how to help them achieve their goals to the benefit of the mission and the organization.

Very unimportant (1) Unimportant (2)   Neither important or unimportant (3)   Important (4)   Very Important (5)

20) **Commitment to share information-** Leaders who share information and listen to understand effectively create a supportive environment. Individuals who feel better understood and included are more likely to be receptive to being mentored. Without individualized consideration in training, new officers can become concerned about being judged or criticized and will simply mimic what they have viewed others doing without fully understanding why an action was taken. Leaders should engage in conversation that promotes a dialogue so that individuals can feel confident in circumstances where they must make an independent decision and trust they have taken the correct action.

Very unimportant (1) Unimportant (2)   Neither important or unimportant (3)   Important (4)   Very Important (5)

21) **Exhibits enthusiasm-** Enthusiasm is contagious and when others feel enthusiastic, they tend to contribute positively. Leaders who display enthusiasm promote an environment in which officers have a desire to do more and do better, as well as display that enthusiasm to others.

Very unimportant (1) Unimportant (2)   Neither important or unimportant (3)   Important (4)   Very Important (5)

22) **Promoting synergy-** Promoting an atmosphere of teamwork in order to accomplish more than individuals working separately.

Very unimportant (1) Unimportant (2)   Neither important or unimportant (3)   Important (4)   Very Important (5)

23) **Effective communication-** Through actively listening, establishing two-way communication, and checking for understanding, leaders are able to facilitate individual growth of followers as well as organizational growth.

Very unimportant (1) Unimportant (2)   Neither important or unimportant (3)   Important (4)   Very Important (5)

24) **Think Win-win-** Win/Win is a frame of mind and heart that constantly seeks mutual benefit between the leader and the leader's constituent (follower). In a Win/Win environment both the leader and the follow are engaged in mutually beneficial, mutually satisfying agreements in a cooperative arena where both parties feel good about the action plan. The Win/Win paradigm is key in individualized consideration because it establishes growth for both the leader and, more importantly, the constituent (follower).

Very unimportant (1) Unimportant (2)   Neither important or unimportant (3)   Important (4)   Very Important (5)

Intellectual Stimulation

25) **Curiosity-** Curiosity is an interest in learning and it causes one to ask questions. Leaders who practice curiosity ask "Why?" and "How?" They are stimulated with the possibility that there could be another way of doing things which leads to a continuous search for opportunities to improve. Curious leaders know that without change there can never be development or improvement and they actively seek out ways to make change.

Very unimportant (1) Unimportant (2)   Neither important or unimportant (3)   Important (4)   Very Important (5)

26) **Creative-** Creative leaders think in innovative ways, are willing to take risks, and find new approaches to established norms or old problems. Combined with curiosity, creative leaders realize that "good enough" is only a waypoint not a destination. Creativity is especially important in complex and changing situations when there might not be time to meticulously plan every detail of the mission.

Very unimportant (1) Unimportant (2)   Neither important or unimportant (3)   Important (4)   Very Important (5)

27) **Open-minded-** Open-minded leaders can see value in a variety of ideas even when they differ from their own personally held opinions or beliefs. Being open-minded is important in leadership so that new, innovative approaches will be considered. When developing staff members there will always be people who are diverse from the leader in point of view, background, culture, experience, behavior style, and a vast array of other characteristics. To fully capitalize on the strengths of every staff member, the leader must be willing to recognize that every staff member has strengths in the first place. Leaders who can listen to diverse opinions and even try innovative approaches without judgment can build trust with their staff, empowering them to take ownership and support the mission.

Very unimportant (1) Unimportant (2)   Neither important or unimportant (3)   Important (4)   Very Important (5)

28) **Challenging the status quo-** Being able to reframe problems in collaboration with followers, detaching themselves from a direct hands-on approach in order to see things from a "bird's eye" view. which facilitates moving an agency forward from current operating mechanisms. An intellectual, influential leader will challenge officers and encourage and stimulate them to try new approaches to solving problems. A successful leader must be influential, as well as trusted, to effectively encourage others to have open dialogue without fear of criticism.

Very unimportant (1) Unimportant (2)   Neither important or unimportant (3)   Important (4)   Very Important (5)

29) Innovative- Innovative leaders illustrate and promote critical thinking, and in doing so they encourage others to become more motivated and forward thinking. This characteristic creates an environment that encourages others to show their own initiative and be creative.

Very unimportant (1) Unimportant (2)   Neither important or unimportant (3)   Important (4)   Very Important (5)

30) Adaptable- Adaptability to a changing environment is critical to successful law enforcement. A leader can better understand the environment by encouraging collaborative problem solving that values individual ideas and encourages multiple perspectives.

Very unimportant (1) Unimportant (2)   Neither important or unimportant (3)   Important (4)   Very Important (5)

31) Empowering others- Facilitating an atmosphere of enabling followers and allowing followers to take appropriate action.

Very unimportant (1) Unimportant (2)   Neither important or unimportant (3)   Important (4)   Very Important (5)

32) Promoting synergy- Promoting an atmosphere of teamwork in order to accomplish more than individuals working separately.

Very unimportant (1) Unimportant (2)   Neither important or unimportant (3)   Important (4)   Very Important (5)

33) Think Win/Win- A belief that, it's not your way or my way, it's a better way, a higher way. Win/Win draws on the strengths of others and minimizes weaknesses through mutual existence. In a Win/Win paradigm, all parties can grow through intellectual stimulation.

Very unimportant (1) Unimportant (2)   Neither important or unimportant (3)   Important (4)   Very Important (5)

Appendix N: Round 3 Questionnaire

Controlled feedback: *Table 1- Descriptive statistics of key ethical leadership characteristics*, and a *Kendall's W* score are supplied as a measure of controlled feedback of responses from Round 2 of the Delphi-study. The controlled feedback is to inform you, as you consider your responses in Round 3 as the expert panel reaches a level of consensus. As you will note, all 33 characteristics created in Round 1, and evaluated in Round 2 remain on the questionnaire. The *Kendall's W* score is explained on the following page.

Descriptive Statistics			
	Mean	Minimum	Maximum
Supportive	4.67	4	5
Integrity	5.00	5	5
Predictability	4.67	4	5
Respect	4.67	4	5
Honesty	5.00	5	5
Leadership By Example	4.67	4	5
Ethical	5.00	5	5
Fairness	4.67	4	5
Collaborative	4.33	4	5
Empowering	5.00	5	5
Optimistic	4.67	4	5
Effective Communication IM	5.00	5	5
Inspiring Shared Vision	4.33	4	5
Competent	4.67	4	5
Forward Looking	4.33	4	5
Encourages Initiative	4.67	4	5
Inclusive	5.00	5	5
Exhibits Personal Interest In Others	4.33	4	5
Empathy	4.67	4	5
Commitment To Share Information	5.00	5	5
Exhibits Enthusiasm	4.33	4	5

Promoting Synergy IC	4.33	4	5
Effective Communication IC	4.67	4	5
Think win win IC	4.67	4	5
Curiosity	5.00	5	5
Creative	4.67	4	5
Open Minded	5.00	5	5
Challenging Status Quo	5.00	5	5
Innovative	4.67	4	5
Adaptable	4.67	4	5
Empowering Others	5.00	5	5
Promoting Synergy IS	4.33	4	5
Think win win IS	4.33	4	5

Table 1: Descriptive statistics of key ethical leadership characteristics

Kendall's W represents the level of consensus between participants regarding the importance of the key identified ethical characteristics. The scale of Kendall's W may range from 0 (no consensus/ agreement) to 1 (absolute consensus/ agreement). The *Kendall's W* score from Round 2 questionnaire = 0.381 (weak consensus/ agreement).

Round 3 of the Delphi study is divided up into two sections: In section 1, please rate the importance of identified key ethical leadership characteristics, just as you did in Round 2. In section 2, please rate your level of support for including each of the identified key ethical leadership characteristics in your future agency promotional processes. You are encouraged to review the definition sheet (Appendix E) of the 4 tenets of transformational leadership when completing the Round 3 questionnaire, which was supplied earlier in the research study, and is also attached to the Round 3 email. If you have any questions, please contact the researcher anytime at David.hay@xxxxxx.edu or (859) XXX-XXXX.

Section 1: Please rate the importance of the following identified key ethical leadership characteristics for state police promotional candidates identified from Round 1, and previously rated in Round 2 of the study. Your choices are not tied to your previous choices in Round 2. You may choose any rating for each key ethical leadership characteristic. If any rating is lower than "3", please briefly indicate why a lower rating was chosen in a different colored font.

Idealized Influence

1) **Supportive-** Supportive leaders encourage their staff to strive toward the goal regardless of the circumstances, whether the path is challenging or smooth. Most people want to feel like their efforts are appreciated and they are contributing to the organization or to the mission.

Very unimportant (1)   Unimportant (2)   Neither important or unimportant (3)   Important (4)   Very Important (5)

2) **Integrity-** Leaders with integrity demonstrate ethics and upstanding behavior both professionally and personally. Staff and the community can trust leaders who have integrity, which is of utmost importance in a police profession.

Very unimportant (1)   Unimportant (2)   Neither important or unimportant (3)   Important (4)   Very Important (5)

3) **Predictability-** Leaders should be predictable in the sense that they are not prone to uncontrolled outbursts of strong emotion, especially negative emotions.   When faced with challenges or unexpected events, staff should know their leader will respond with an appropriate demeanor. Being predictable in this way builds trust with the staff. Being unpredictable can be destructive and prevent the staff from even wanting to strive toward any goal set by the leader or the organization.

Very unimportant (1)   Unimportant (2)   Neither important or unimportant (3)   Important (4)   Very Important (5)

4) **Respect for others-** Value for others through temperance, fairness and courtesy. Police work is often a very isolated job in which most agencies pair a new officer with a seasoned officer (leader). The development of the new officer at this point is important in so many ways, but ethical influence is extremely critical. The new officer must trust the person from whom they receive instruction and this starts with the seasoned officer showing respect to others. This is where the promotion of self-worth in others and the observation of a person's behavior and qualities is best witnessed.

Very unimportant (1)   Unimportant (2)   Neither important or unimportant (3)   Important (4)   Very Important (5)

5) **Honesty-** Trustworthiness and sincerity in accordance with experience.

Very unimportant (1)   Unimportant (2)   Neither important or unimportant (3)   Important (4)   Very Important (5)

6) **Leadership by example-** This characteristic is influential and reassuring. It is the "tell all" of behavior that is not quite visible. This characteristic will give others a personal desire to follow this leader and encourage others to develop their own self-worth and reassurance they will be successful in overcoming obstacles if they follow a similar behavior.

Very unimportant (1)   Unimportant (2)   Neither important or unimportant (3)   Important (4)   Very Important (5)

7) **Ethical**- A powerful indicator of strength of character. This character trait is also influential toward the behavior of others. If successful, the value of this influence on others, especially within police work, is immeasurable. Ethical Leaders should not be afraid to be the example and do what is "right" and should have the expectation of others to do the same, no matter how difficult or unpopular the action.

Very unimportant (1)   Unimportant (2)   Neither important or unimportant (3)   Important (4)   Very Important (5)

8) **Fairness**- An essential attribute of impartiality, and free from self-interest. Fairness also requires consideration for cultural and ethnic diversity.

Very unimportant (1)   Unimportant (2)   Neither important or unimportant (3)   Important (4)   Very Important (5)

Inspirational Motivation

9) **Collaborative-** Working together with others toward a common goal. Working in a collaborative manner with their staff, leaders instill personal ownership in the goal and the manner in which the organization will meet the goal. Through successful collaboration, the staff will understand how they fit into the organization and how their contribution is important to the overall mission and goals. Encouraging individual units to work in teams requires a leader to display trustworthiness and indicate the top priority is the success of the agency working in harmony, not the personal success of the individual leader. The success of the team will inspire individuals to build relationships within the community.

Very unimportant (1)   Unimportant (2)   Neither important or unimportant (3)   Important (4)   Very Important (5)

10) **Empowering-** Leaders who empower their staff give them control and ownership of their roles in the mission. Empowered staff feel enabled to take actions that will make a difference. They can become confident in their abilities and even take risks, learning which risks are worth taking.

Very unimportant (1)   Unimportant (2)   Neither important or unimportant (3)   Important (4)   Very Important (5)

11) – **Optimistic-** Optimistic leaders are hopeful and confident about the future. Practicing optimism is empowering. It feeds the energy level of the staff and keeps them moving forward. Even when a setback occurs, the leader must correct course with an appropriate measure of optimism so the staff and organization continue to strive for success.

Very unimportant (1)   Unimportant (2)   Neither important or unimportant (3)   Important (4)   Very Important (5)

12) **Effective communication** – Police work has multiple lines of communication and ensuring the lines are clear and others' ideas are valued will encourage feedback, which contributes to the common goal. Inspirational leaders understand taking the time to effectively communicate ensures that everyone better understands expectations, which enables them to be on board and moving in the same/right direction.

Very unimportant (1)   Unimportant (2)   Neither important or unimportant (3)   Important (4)   Very Important (5)

13) **Inspiring a shared vision**- Envisioning the future by imagining exciting and noble possibilities and enlisting others by appealing to shared aspirations.

Very unimportant (1)   Unimportant (2)   Neither important or unimportant (3)   Important (4)   Very Important (5)

14) Competent- A leader's track record and ability to getting things done. Competence is relative to the leader's position within the organization. A leader on the front lines would need leadership proficiency in dealing with direct interaction with the public and the fundamentals of police work; while a leader at the strategic level would have to be competent in strategic planning and policy making. Each of these traits have their place in the organization; however, the strategic leader, in addition to relevant competencies, would still be required to have fundamental skills, especially in law enforcement.

Very unimportant (1)   Unimportant (2)   Neither important or unimportant (3)   Important (4)   Very Important (5)

15) Forward looking- Leaders must be able to communicate goals and a strategic outlook for themselves and the organization. Others will not follow a leader who has no sense of where he/she is leading.

Very unimportant (1)   Unimportant (2)   Neither important or unimportant (3)   Important (4)   Very Important (5)

16) Encourages initiative- Police work presents challenges with regard to achieving goals, especially when the success of such goals are difficult to measure. An inspiring leader should be able to communicate expectations toward specific goals; however, they should encourage, through words and action, initiative in individuals with regard to reaching those goals.

Very unimportant (1)   Unimportant (2)   Neither important or unimportant (3)   Important (4)   Very Important (5)

Individualized Consideration

17) Inclusive- An inclusive leader welcomes all types of people and differing opinions. Leaders recognize that everyone probably has strengths that can benefit the organization or contribute to the mission. The leader must be able and willing to look past group-think prejudices to identify individual gifts and talents. When leaders identify an individual's gifts and talents, the leader can apply them where they are most effective and also develop weaker skills and traits.

Very unimportant (1)   Unimportant (2)   Neither important or unimportant (3)   Important (4)   Very Important (5)

18) Exhibits personal interest in others- A leader has to be comfortable engaging with individual members of their staff on an appropriately personal level. The staff member needs to feel known by the leader. To identify strengths, help the staff member develop, and to build trust, the leader has to be able to hold a meaningful conversation with them beyond the nuts and bolts of every day work life. It is challenging to understand individual needs and/or individual learning methods due the nature of police work and a desire by some to fit into an "expected image." To be successful, leaders should exhibit personal interest in the people they lead. If this is accomplished, leaders are able to better understand individual differences and by understanding those differences, they can properly allocate control and empower others.

Very unimportant (1)   Unimportant (2)   Neither important or unimportant (3)   Important (4)   Very Important (5)

19) Empathy- Empathetic leaders are capable of understanding their staff members' points of view and motives. When the empathetic leader understands their staff members' motives and their needs, the leader can determine how to help them achieve their goals to the benefit of the mission and the organization.

Very unimportant (1)   Unimportant (2)   Neither important or unimportant (3)   Important (4)   Very Important (5)

20) Commitment to share information- Leaders who share information and listen to understand effectively create a supportive environment. Individuals who feel better understood and included are more likely to be receptive to being mentored. Without individualized consideration in training, new officers can become concerned about being judged or criticized and will simply mimic what they have viewed others doing without fully understanding why an action was taken. Leaders should engage in conversation that promotes a dialogue so that individuals can feel confident in circumstances where they must make an independent decision and trust they have taken the correct action.

Very unimportant (1)   Unimportant (2)   Neither important or unimportant (3)   Important (4)   Very Important (5)

21) Exhibits enthusiasm- Enthusiasm is contagious and when others feel enthusiastic, they tend to contribute positively. Leaders who display enthusiasm promote an environment in which officers have a desire to do more and do better, as well as display that enthusiasm to others.

Very unimportant (1)   Unimportant (2)   Neither important or unimportant (3)   Important (4)   Very Important (5)

22) Promoting synergy- Promoting an atmosphere of teamwork in order to accomplish more than individuals working separately.

Very unimportant (1)   Unimportant (2)   Neither important or unimportant (3)   Important (4)   Very Important (5)

23) Effective communication- Through actively listening, establishing two-way communication, and checking for understanding, leaders are able to facilitate individual growth of followers as well as organizational growth.

Very unimportant (1)   Unimportant (2)   Neither important or unimportant (3)   Important (4)   Very Important (5)

24) Think Win-win- Win/Win is a frame of mind and heart that constantly seeks mutual benefit between the leader and the leader's constituent (follower). In a Win/Win environment both the leader and the follow are engaged in mutually beneficial, mutually satisfying agreements in a cooperative arena where both parties feel good about the action plan. The Win/Win paradigm is key in individualized consideration because it establishes growth for both the leader and, more importantly, the constituent (follower).

Very unimportant (1)   Unimportant (2)   Neither important or unimportant (3)   Important (4)   Very Important (5)

Intellectual Stimulation

25) **Curiosity-** Curiosity is an interest in learning and it causes one to ask questions. Leaders who practice curiosity ask "Why?" and "How?" They are stimulated with the possibility that there could be another way of doing things which leads to a continuous search for opportunities to improve. Curious leaders know that without change there can never be development or improvement and they actively seek out ways to make change.

Very unimportant (1)   Unimportant (2)   Neither important or unimportant (3)   Important (4)   Very Important (5)

26) **Creative-** Creative leaders think in innovative ways, are willing to take risks, and find new approaches to established norms or old problems. Combined with curiosity, creative leaders realize that "good enough" is only a waypoint not a destination. Creativity is especially important in complex and changing situations when there might not be time to meticulously plan every detail of the mission.

Very unimportant (1)   Unimportant (2)   Neither important or unimportant (3)   Important (4)   Very Important (5)

27) **Open-minded-** Open-minded leaders can see value in a variety of ideas even when they differ from their own personally held opinions or beliefs. Being open-minded is important in leadership so that new, innovative approaches will be considered. When developing staff members there will always be people who are diverse from the leader in point of view, background, culture, experience, behavior style, and a vast array of other characteristics. To fully capitalize on the strengths of every staff member, the leader must be willing to recognize that every staff member has strengths in the first place. Leaders who can listen to diverse opinions and even try innovative approaches without judgment can build trust with their staff, empowering them to take ownership and support the mission.

Very unimportant (1)   Unimportant (2)   Neither important or unimportant (3)   Important (4)   Very Important (5)

28) **Challenging the status quo-** Being able to reframe problems in collaboration with followers, detaching themselves from a direct hands-on approach in order to see things from a "bird's eye" view. which facilitates moving an agency forward from current operating mechanisms. An intellectual, influential leader will challenge officers and encourage and stimulate them to try new approaches to solving problems. A successful leader must be influential, as well as trusted, to effectively encourage others to have open dialogue without fear of criticism.

Very unimportant (1)   Unimportant (2)   Neither important or unimportant (3)   Important (4)   Very Important (5)

29) **Innovative-** Innovative leaders illustrate and promote critical thinking, and in doing so they encourage others to become more motivated and forward thinking. This characteristic creates an environment that encourages others to show their own initiative and be creative.

Very unimportant (1)   Unimportant (2)   Neither important or unimportant (3)   Important (4)   Very Important (5)

30) **Adaptable-** Adaptability to a changing environment is critical to successful law enforcement. A leader can better understand the environment by encouraging collaborative problem solving that values individual ideas and encourages multiple perspectives.

Very unimportant (1)   Unimportant (2)   Neither important or unimportant (3)   Important (4)   Very Important (5)

31) **Empowering others-** Facilitating an atmosphere of enabling followers and allowing followers to take appropriate action.

Very unimportant (1)   Unimportant (2)   Neither important or unimportant (3)   Important (4)   Very Important (5)

32) **Promoting synergy-** Promoting an atmosphere of teamwork in order to accomplish more than individuals working separately.

Very unimportant (1)   Unimportant (2)   Neither important or unimportant (3)   Important (4)   Very Important (5)

33) **Think Win/Win-** A belief that, it's not your way or my way, it's a better way, a higher way. Win/Win draws on the strengths of others and minimizes weaknesses through mutual existence. In a Win/Win paradigm, all parties can grow through intellectual stimulation.

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Section 2: Please rate your level of support for including each of the identified key ethical leadership characteristics in your future agency promotional processes. If any rating is lower than "3", please briefly indicate why a lower rating was chosen in a different colored font.

Idealized Influence

1) **Supportive-** Supportive leaders encourage their staff to strive toward the goal regardless of the circumstances, whether the path is challenging or smooth. Most people want to feel like their efforts are appreciated and they are contributing to the organization or to the mission.

Very unsupportive (1)   Unsupportive (2) Neither supportive or unsupportive (3)   Supportive (4)   Very Supportive (5)

2) **Integrity-** Leaders with integrity demonstrate ethics and upstanding behavior both professionally and personally. Staff and the community can trust leaders who have integrity, which is of utmost importance in a police profession.

Very unsupportive (1)   Unsupportive (2) Neither supportive or unsupportive (3)   Supportive (4)   Very Supportive (5)

3) **Predictability-** Leaders should be predictable in the sense that they are not prone to uncontrolled outbursts of strong emotion, especially negative emotions. When faced with challenges or unexpected events, staff should know their leader will respond with an appropriate demeanor. Being predictable in this way builds trust with the staff. Being unpredictable can be destructive and prevent the staff from even wanting to strive toward any goal set by the leader or the organization.

Very unsupportive (1)   Unsupportive (2)   Neither supportive or unsupportive (3)   Supportive (4)   Very Supportive (5)

4) **Respect for others-** Value for others through temperance, fairness and courtesy. Police work is often a very isolated job in which most agencies pair a new officer with a seasoned officer (leader). The development of the new officer at this point is important in so many ways, but ethical influence is extremely critical. The new officer must trust the person from whom they receive instruction and this starts with the seasoned officer showing respect to others. This is where the promotion of self-worth in others and the observation of a person's behavior and qualities is best witnessed.

Very unsupportive (1)   Unsupportive (2)   Neither supportive or unsupportive (3)   Supportive (4)   Very Supportive (5)

5) **Honesty-** Trustworthiness and sincerity in accordance with experience.

Very unsupportive (1)   Unsupportive (2)   Neither supportive or unsupportive (3)   Supportive (4)   Very Supportive (5)

6) **Leadership by example-** This characteristic is influential and reassuring. It is the "tell all" of behavior that is not quite visible. This characteristic will give others a personal desire to follow this leader and encourage others to develop their own self-worth and reassurance they will be successful in overcoming obstacles if they follow a similar behavior.

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Very unsupportive (1)   Unsupportive (2)   Neither supportive or unsupportive (3)   Supportive (4)   Very Supportive (5)

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Very unsupportive (1)   Unsupportive (2)   Neither supportive or unsupportive (3)   Supportive (4)   Very Supportive (5)

Appendix O: IRB Approval to Conduct Study

Dear Mr. Hay,

This email is to notify you that the Institutional Review Board (IRB) has approved your application for the study entitled, "Key ethical leadership characteristics of state police promotional candidates in the South," <u>conditional</u> upon the approval of the research partners, as documented in signed letters of cooperation, which will need to be submitted to the Walden IRB once obtained. The researcher may not commence the study until the Walden IRB confirms receipt of those signed letters of cooperation.

Your approval # is 12-02-19-0174069. You will need to reference this number in your dissertation and in any future funding or publication submissions. Also attached to this e-mail are the IRB approved consent forms. Please note, if these are already in an on-line format, you will need to update those consent documents to include the IRB approval number and expiration date.

Your IRB approval expires on December 1, 2020. One month before this expiration date, you will be sent a Continuing Review Form, which must be submitted if you wish to collect data beyond the approval expiration date.

Please note that this letter indicates that the IRB has approved your research. You may **NOT** begin the research phase of your doctoral study, however, until you have received official notification from the IRB to do so. Once you have received this notification by email, you may begin your data collection. Your IRB approval is contingent upon your adherence to the exact procedures described in the final version of the IRB application materials that have been submitted as of this date. This includes maintaining your current status with the university. Your IRB approval is only valid while you are an actively enrolled student at Walden University. If you need to take a leave of absence or are otherwise unable to remain actively enrolled, your IRB approval is suspended. Absolutely NO participant recruitment or data collection may occur while a student is not actively enrolled.

If you need to make any changes to your research staff or procedures, you must obtain IRB approval by submitting the IRB Request for Change in Procedures Form. You will receive confirmation with a status update of the request within 10 business days of submitting the change request form and are not permitted to implement changes prior to receiving approval. Please note that Walden University does not accept responsibility or liability for research activities conducted without the IRB's approval, and the University will not accept or grant credit for student work that fails to comply with the policies and procedures related to ethical standards in research.

When you submitted your IRB application, you a made commitment to communicate both discrete adverse events and general problems to the IRB within 1 week of their occurrence/realization. Failure to do so may result in invalidation of data, loss of academic credit, and/or loss of legal protections otherwise available to the researcher.

Both the Adverse Event Reporting form and Request for Change in Procedures form can be obtained at the Documents section of the Walden website: http://academicguides.waldenu.edu/researchcenter/orec

Researchers are expected to keep detailed records of their research activities (i.e., participant log sheets, completed consent forms, etc.) for the same period of time they retain the original data. If, in the future, you require copies of the originally submitted IRB materials, you may request them from Institutional Review Board.

Both students and faculty are invited to provide feedback on this IRB experience at the link below:

http://www.surveymonkey.com/s.aspx?sm=qHBJzkJMUx43pZegKlmdiQ_3d_3d

Sincerely,
Libby Munson
Research Ethics Support Specialist
Office of Research Ethics and Compliance
Walden University
100 Washington Avenue South, Suite 900
Minneapolis, MN 55401
Email: irb@xxxxxx.edu
Phone: (612) 312-XXXX
Fax: (626) 605-XXXX

Information about the Walden University Institutional Review Board, including instructions for application, may be found at this link: http://academicguides.waldenu.edu/researchcenter/orec