

Basic Course Workbook Series Student Materials

Learning Domain 1

Leadership, Professionalism, and Ethics

Version 5.4

**Basic Course Workbook Series
Student Materials
Learning Domain 1
Leadership, Professionalism, and Ethics
Version 5.4**

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THE ACADEMY TRAINING MISSION

The primary mission of basic training is to prepare students mentally, morally, and physically to advance into a field training program, assume the responsibilities, and execute the duties of a peace officer in society.

FOREWORD

The California Commission on Peace Officer Standards and Training sincerely appreciates the efforts of the many curriculum consultants, academy instructors, directors and coordinators who contributed to the development of this workbook. We must also thank the California law enforcement agency executives who allowed their personnel to participate in the development of these training materials.

This student workbook is part of the POST Basic Course Training System. The workbook component of this system provides a self-study document for every learning domain in the Basic Course. Each workbook is intended to be a supplement to, not a substitute for, classroom instruction. The objective of the system is to improve academy student learning and information retention and ultimately contribute to you becoming a peace officer committed to safety, and to the communities you will serve.

The content of each workbook is organized into sequenced learning modules to meet requirements as prescribed both by California law and the POST Training and Testing Specifications for the Basic Course.

It is our hope that the collective wisdom and experience of all who contributed to this workbook will help you, the student, to successfully complete the Basic Course and to enjoy a safe and rewarding career as a peace officer.

MANUEL ALVAREZ, Jr.
Executive Director

LD 1: Leadership, Professionalism, and Ethics

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Preface

Introduction

Student workbooks

The student workbooks are part of the POST Basic Course Instructional System. This system is designed to provide students with a self-study document to be used in preparation for classroom training.

Regular Basic Course training requirement

Completion of the Regular Basic Course is required, prior to exercising peace officer powers, as recognized in the California Penal Code and where the POST-required standard is the POST Regular Basic Course.

Student workbook elements

The following elements are included in each workbook:

- chapter contents, including a synopsis of key points,
 - supplementary material, and
 - a glossary of terms used in this workbook.
-

How to Use the Student Workbook

Introduction

This workbook provides an introduction to the training requirements for this Learning Domain. It is intended to be used in several ways: for initial learning prior to classroom attendance, for test preparation, and for remedial training.

Workbook format

To use the workbook most effectively, follow the steps listed below.

Step	Action
1	Begin by reading the: Preface and How to Use the Workbook, which provide an overview of how the workbook fits into the POST Instructional System and how it should be used.
2	Refer to the Chapter Synopsis section at the end of each chapter to review the key points that support the chapter objectives.
3	Read the text.
4	Complete the Workbook Learning Activities at the end of each chapter. These activities reinforce the material taught in the chapter.
5	Refer to the Glossary section for a definition of important terms. The terms appear throughout the text and are bolded and underlined the first time they appear (e.g., <u>term</u>).

Chapter 1

Leadership in Policing

Overview

Learning need Peace officers are expected to be leaders in the community, in their agencies, and among peers. To be effective, officers must understand the components of leadership, their responsibility to lead, and the impact of their leadership.

Learning objectives The chart below identifies the student learning objectives for this chapter.

After completing study of this chapter, the student will be able to...	Objective ID
<ul style="list-style-type: none">• discuss why leadership is important	1.01.8
<ul style="list-style-type: none">• define leadership	1.01.9
<ul style="list-style-type: none">• discuss universal components of leadership	1.01.10
<ul style="list-style-type: none">• discuss the officer as a leader	1.01.11
<ul style="list-style-type: none">• discuss the leader as a follower	1.01.12
<ul style="list-style-type: none">• discuss how leadership impacts the daily work of a peace officer and how officers can recognize the results	1.01.13

Continued on next page

Overview, Continued

In this chapter This chapter focuses on professional law enforcement. Refer to the chart below for specific topics.

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Leadership

Introduction

As a peace officer in the academy you have already displayed an interest in leadership. POST and your agency recognize that leadership must be practiced at the line-level, supervisory, and management level. Your ability to exercise leadership as a line officer will have a significant impact on you, your agency, the community and the profession.

Definition

Leadership is the practice of influencing people, while using ethical values and goals, to produce an intended change.

Every officer is a leader

Every officer has a responsibility to practice leadership. Effective communication and respect demonstrates leadership and is essential for effective problem solving because it engages the cooperation of the community.

The exercise of leadership by an officer results in increased respect, confidence and influence. The result will be personal and professional success, increased public trust and personal growth. Leadership, to some degree, is required to handle every contact with the community.

Leadership has no rank. Every officer is a leader, responsible to use the authority and opportunities of the policing role in a manner that is both effective and ethical.

No member of a policing agency has more direct contact with the community than the line-level officer. These contacts – regardless of their nature – will almost always require the responding officer to demonstrate leadership to effectively handle the contact.

Officers, in the exercise of leadership, put honor above all, consistently strive to live up to and manifest the core ethical values of trustworthiness, respect, responsibility, fairness, caring and good citizenship.

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Leadership, Continued

Leadership competencies

Effective leaders possess and continually develop certain desired core competencies/skills and traits.

Core competency and Trait	Comments
Knowledge	There is no substitute for job knowledge or technical competence. Effective use of individual skills is the foundation for what we do and what we can accomplish.
Courage	This includes both physical and moral courage. Fortitude to try new ideas. Confront adversity, act assertively. Stand and do the right thing.
Communication	To be effective, we need to clearly send and receive messages with the community and each other. Creates understanding.
Professionalism	<u>Professionalism</u> includes positive attitudes, reliable performance, empathy for the community and co-workers, consistency and clarity of purpose.
Personal character	Behave with honor, integrity, honesty, respect, fairness and tolerance. Leadership requires flexibility and commitment.
Trustworthiness	The ability to be relied on as honest, truthful and keeping your promises.
Decision making/Problem solving	Requires the ability to analyze information and use resources to make responsible decisions. Working and facilitating with others to develop creative, innovative solutions to problems (i.e., crime and disorder). Vision of intended outcome.
Responsibility	Accountability, duty to act, and the exercise of self-control.

Universal Components of Leadership

Introduction

Peace officers can learn to exercise leadership through preparation, knowledge of the leadership role, a desire to lead and a commitment to effective job performance.

Authority and power

For peace officers to be effective leaders, they must use their **authority** and **power** appropriately. There is a difference between authority and power. Officers are granted authority, yet they must develop power. Power is developed through a mutual respect between the officer and the community. Peace officers must understand the nature and limits of both.

Power

Individuals with power have the capacity to influence and inspire others. People will often commit to certain individuals who have little authority. Individuals with power possess drive, expertise, and genuine caring for others.

Example: One of several officers at a crime scene gives direction to responding officers. Those responding comply with the officer's direction because they trust the officer's skills and abilities, not because the officer has the authority of rank.

Example: A newly assigned supervisor is given a complex assignment in an area in which he does not have expertise. The supervisor calls upon an officer whom he knows is well-respected and trusted by others to develop an operational plan.

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Universal Components of Leadership, Continued

Power (continued)

Example: Mahatma Gandhi never ran for, nor was he elected to a public office. Yet he was the primary leader of India during a peaceful revolution and helped India win its independence from the United Kingdom. He was a role model for many contemporary leaders, including Dr. Martin Luther King.

NOTE: Power comes from who you are; authority comes from what your role is.

Informal leadership power

Throughout your life you have already experienced being an active follower for an informal leader, perhaps in a sporting activity, during scouting, youth or religious group project or even just “hanging out” with a group. At different times and different events you have changed from an active follower to informal leader.

Your career as a peace officer will provide countless opportunities to continue to exercise your leadership skills. The role of a peace officer requires you to be a proficient leader. The public expects you to lead, to be innovative and address problems that contribute to crime and disorder.

Authority

Peace officers have authority by law. They are granted the ability to compel behavior, enforce laws, and direct resources, based solely on their legal status. Authority is granted and limited by legislative statute, and appointing authority or agency. In many cases, authority alone is insufficient to accomplish what needs to be done, or to achieve an appropriate solution to the problem at hand.

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Universal Components of Leadership, Continued

Authority (continued)

The following chart describes the characteristics of both authority and power. The chart indicates the relationship and differences between authority and power:

Characteristics	Authority	Power
How granted	from above	all directions
Direction	top-down	<ul style="list-style-type: none">• reciprocal flow• all directions
Source	legal	trust
Intent	maintain control	influence change
Limitations	limited	unlimited
Discipline	imposed	self-discipline
Accomplishments	status quo	change
Risk-taking	avoidance	yes (calculated)
Who uses	everyone to whom conferred	leaders

Continued on next page

Universal Components of Leadership, Continued

**Compliance
vs.
commitment**

Compliance is acceptance of a person's authority. It yields an outward change in behavior without necessarily altering one's attitude. Compliance often means minimal acceptance and adherence to policy and direction. Compliance can occur without any internal commitment to the agency's values. It also infers a "stay out of trouble" approach. It is a response to authority to avoid a consequence.

Example: Suspect complies with a peace officer's lawful order to submit to arrest and custody.

Commitment is an outward manifestation of an internal willingness to embrace leadership values (i.e. integrity of self) and agency goals (i.e. provide high quality service). It does not imply an attempt to avoid a consequence, but rather a positive reinforcement of what is right.

One of the most prominent outward signs of commitment to the job is a willingness to exceed expectations. When you stand in line at the local hardware store, you can instinctively feel the difference between a clerk who is merely complying with their job requirements and one who is interested and engaged in what they are doing. When you have a problem with a service or product, think about times when you've encountered someone who is only "following the rules" versus a representative of that business who wants to help you solve the problem at hand.

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Universal Components of Leadership, Continued

**Compliance
vs.
commitment
(continued)**

In policing, members of our communities can also clearly see the difference between a peace officer complying with job rules versus one who is actively seeking ways to improve the quality of life in their beat or through their contacts with those in need. Commitment to the job is a foundation of problem solving. Also, others will be influenced by your efforts to lead them to proper courses of action. Commitment is also the cornerstone of officer safety. Those who are committed to doing their best will devote the time and effort necessary to stay in shape, learn new things, and enhance their situational awareness while on the job. Being committed to the profession, working to improve your skills and recognizing your potential to positively impact the lives of those who rely on you for their safety, forms the basis of your development as a leader.

**The leadership
relationship**

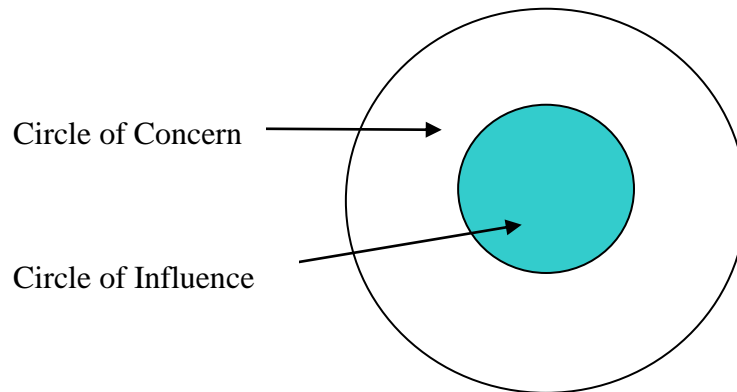
Leadership is a relationship; something you do with other people. It is a skillful activity that can be learned through observable behaviors, modeling and practical experience. Understanding how leadership relationships affect you and others is essential to making leadership effective.

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Universal Components of Leadership, Continued

Circle of influence

As members of the human race we are concerned about many things (e.g., starving children in other countries). As peace officers, we have influence over fewer circumstances (i.e. arresting a drunk driver). The more we concentrate on issues which we have some influence to change, the greater our impact on our circle of concern will be.



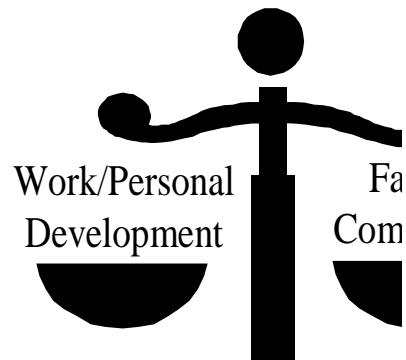
As shown in the above chart, influence expands as it is used appropriately; it is not finite. A peace officer's ability to influence others in an agency and a community, is directly related to the power granted the officer by virtue of the officer's leadership competencies.

(Adapted from "7 Habits of Highly Effective People," Covey, Stephen, 1989)

Continued on next page

Universal Components of Leadership, Continued

Life balance



An effective leader understands and follows the principle of balance. Peace officers are challenged to establish and maintain a sense of balance. The stress of the law enforcement profession challenges you to understand the competing elements of life such as family, community, work (including, peers and supervisors) and personal development. How well you balance these competing interests will often determine your ability to make sound decisions (i.e., your self-assessment and emotional intelligence).

Example: A lack of balance in your life may affect other aspects of your life. For example, working excessive overtime will bring you additional money, but it may adversely affect other important aspects of your life.

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Universal Components of Leadership, Continued

Leadership learning

Peace officers are engaged in a dynamic, complex profession. The demands on public safety require constant awareness of changes in such things as laws, attitudes, society, and technology. To be effective, peace officers need to recognize that leadership demands a commitment to constant improvement. Be a lifetime student of leadership. “Know what you don’t know.”

“Leadership and learning are indispensable to each other.”

John F. Kennedy (35th U.S. President)

“...Effective leaders create a climate where people’s worth is determined by their willingness to learn new skills and grab new responsibilities, thus, perpetually reinventing their jobs. Leaders honor their core values but are flexible in how they execute them.”

General Colin Powell (Ret)

Continued on next page

Universal Components of Leadership, Continued

Formal

During your career you will be presented with many educational opportunities. It is your obligation to the profession to take advantage of both formal and informal educational and training opportunities.

Formal Educational Training	
Agency	<ul style="list-style-type: none">• Field Training Program• Continuing Professional Training• Roll-call training• New position or assignment
Colleges	<ul style="list-style-type: none">• Degrees<ul style="list-style-type: none">- Associate of Arts- Bachelor of Science- Masters- Ph.D.• In service courses• Enrichment courses• Promotional preparation courses
Community	<ul style="list-style-type: none">• Communications• Cultural awareness• Faith-based programs• Resource identification and application

Continued on next page

Universal Components of Leadership, Continued

Informal

Informal Educational Training	
Reading	<ul style="list-style-type: none"> • Penal Code, Vehicle Code, etc. • biographies of admired leaders • community cultural history • technical material on policing tactics • publications, books, etc. for enjoyment
Experiences	<ul style="list-style-type: none"> • learn from your mistakes • ask others for input • attempt to understand “why” things happen • take prudent risks
Studying	<ul style="list-style-type: none"> • be a continuous learner to upgrade your skills • if you are acceptable, become good. If you are good, become an expert • examine available data from a variety of sources
Community Involvement	<ul style="list-style-type: none"> • if you are willing to protect a community or any of its members with your life, why not be involved • change a community by one contact at a time • your gift of time will be returned at unexpected moments

Officer as Leader

Introduction

Circumstances and situations require every officer to step forward as a leader. Prepare yourself every day to lead - you never know when the opportunity to exercise leadership will arise.

“Before everything else, getting ready is the secret to success.”

Henry Ford

Peer leadership

Peer behaviors are a strong influence on peace officers. It is incumbent on every peace officer to recognize that he or she has the opportunity to influence peers by modeling positive behaviors, taking charge, and sharing information if and when appropriate.

Modeling

Positive modeling behaviors include:

- Maintaining ethical standards
- Exhibiting technical competence
- Practicing officer safety
- Paying attention to duties
- Maintaining professional appearance (first impressions)
- Demonstrating respect for the community
- Taking opportunities to improve the agency and profession
- Pursuing self development
- Allow the community to have their voice and listen with empathy

People pay more attention to what you do than what you say.

Officers make hundreds of “first impressions” each shift. Your personal grooming, demeanor, language, cleanliness, equipment and expression will create a “first impression” before you say a single word. Lead by example.

“Walk your Talk”

Ken Blanchard (Author)

Continued on next page

Officer as Leader, Continued

Taking charge

There may not always be someone around to tell you and fellow officers when and how to respond. You have been entrusted by the community and your agency to exercise discretion and take action that is safe, effective and ethical.

When circumstances dictate, peace officers must be prepared to take a leadership role. One of the most common ways officers lead is by initiating a course of action in the absence of supervision.

Intervening

As a leader, a peace officer must have the courage to address unacceptable or unethical behavior and is obligated to intervene if such action is exhibited by another officer.

NOTE: Refer to the subsequent chapter for additional content on intervening.

Sharing knowledge and experiences

Sharing information about tactics, work practices and other issues is another way in which officers exhibit leadership and exert influence among their peers.

NOTE: Your academy experience is a leadership laboratory. The more you practice leadership in the academy, at home and in your community, the more proficient you will become.

Expecting change

In the policing profession, history has shown that people and organizations change (i.e., professionalization, technological). In fact, change is the only constant.

Sharing information about new tactics, criminal behaviors, and work practices is essential for the well being of the profession and safety of fellow officers.

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Officer as Leader, Continued

Expecting change (continued)

The police profession is part of our society and our larger system of justice. While change has not always been dramatic or sensational, the law enforcement profession has experienced many changes and will likely continue to do so. Expect change, adapt, and embrace the challenge.

Leadership in the community

A peace officer's leadership begins with his or her realization that officers are an integral part of the community. As highly visible and specially trained members of the community, peace officers are looked upon as leaders. Some ways peace officers demonstrate leadership in the community are:

- being accessible and proactive
- being responsive to community issues and concerns
- being empathetic to the community's specific needs
- sharing information and expertise
- facilitating problem solving
- being accountable
- serving as an example of a good citizen, both on- and off-duty
- recognizing problems or potential problems and taking action to prevent or resolve them
- influencing the community to face its problems

In addition to service while on duty, there are other ways in which officers fulfill leadership roles in the community (e.g., school boards, fire boards, coaching, service clubs, volunteer service, and elected positions).

Continued on next page

Officer as Leader, Continued

Community Policing

When peace officers and community members share a common sense of values, communicate openly and regularly, and when they have a common regard for each other, the result will be trust. Trust is the critical link in the community/policing partnership.

Officers who exercise ethical leadership will learn to be effective problem solvers, better skilled to mobilize communities to address issues of crime and disorder, and proactive in developing crime prevention strategies.

NOTE: Refer to LD 3: *Policing in the Community* for additional information on Community Policing.

Leadership within the profession

What you do affects peace officers everywhere. While you may work for just one agency, the public often identifies all officers or deputies as one. There are no jurisdictional borders on the impact of your behavior.

Example: No matter where you were in the United States at the time of the Rodney King incident you could view the occurrence over and over again on public television. How many times have you seen New York City peace officers covered in ashes from the World Trade Center? How might the inappropriate use of a flashlight affect the entire profession?

Continued on next page

Officer as Leader, Continued

Leadership within the profession (continued)

Enhancing communication and mutual respect between officers and their agencies is extremely important. It is each peace officer's responsibility to:

- Maintain lines of communication with:
 - peers
 - supervisors
 - executives

- Develop professional relationships with allied public safety agencies

- Share emerging tactics or information by providing:
 - training bulletins
 - professional articles
 - training courses

Each peace officer may consider participation in organizations and associations that promote law enforcement professionalism. Examples of professional organizations are:

- California Peace Officers Association (CPOA)
- California Narcotics Officers Association (CNOA)
- National Association of Field Training Officers (NAFTO)
- International Association of Chiefs of Police (IACP)
- Peace Officers Research Association of California (PORAC)

Continued on next page

Leader as Follower

Introduction

“Follower” is not a term of weakness but the condition that permits leadership to exist and give it strength.

Exercising leadership

The day-to-day operation of an agency depends upon officers exercising leadership in the discharge of their duties. Agencies also expect officers to be followers to the best of their ability.

Courage to:	“Courageous Follower” is obligated to ...
assume responsibility	<ul style="list-style-type: none">• Make yourself and the organization better• maximize your value to the organization
serve with loyalty	<ul style="list-style-type: none">• follow the lawful and ethical orders of the organization regardless of your personal opinion• support your leaders and the tough decisions they must make
challenge	<ul style="list-style-type: none">• speak out when you feel the behaviors or policies of the leader or group conflict with ethical standards• provide alternatives to behaviors or policies within the organization that are not consistent with the stated values of the organization and profession

Continued on next page

Leader as Follower, Continued

Exercising leadership (continued)

Courage to:	“Courageous Follower” is obligated to ...
participate in transformation	<ul style="list-style-type: none">• recognize that the career of law enforcement is a continuously changing process• recognize that change depends on the support of every officer• examine your own need for change
leave	<ul style="list-style-type: none">• leave the profession if you believe you cannot live up to the standards of the profession• after attempting positive change, leave the organization if the values of the organization are not consistent with the values of the profession

(Adapted from Chaleff, Ira, 1995, “The Courageous Follower”)

Separation of ego from power and authority

Following others is part of being a supportive team member. Your position is not diminished or lessened by putting personal needs secondary to the needs of others, the community or the organization.

- along with your legal authority and power to influence people, humility is required in order to lead effectively.
 - recognizing other people’s expertise within the community and the organization that may enhance your ability to lead.
 - you have an opportunity to develop as a leader by assuming a supportive position.
-

Continued on next page

Leader as Follower, Continued

**Separation
of ego from
power and
authority**
(continued)

NOTE: Ira Chaleff wrote in his book, “The Courageous Follower,” “...in the dance of leaders and followers we change partners and roles throughout our lives. With each new partner we must subtly adjust our movements and avoid the other’s toes. If we are leading we must lead and if we are not we must follow, but always as a strong partner. We constantly learn from each other and improve our gracefulness in a wide diversity of styles and tempos.”

NOTE: Peace officers shall recognize that their allegiance is

- first to the U.S. Constitution,
 - then to the people,
 - then to their profession and
 - then to the agency that employs them.
-

Impact of Leadership

Introduction

The practice of leadership impacts the daily work of peace officers who can recognize the results by improved communication, problem solving and decision making.

Practicing leadership

Positive leadership	Absence of leadership
respect of quality	fear, disdain
trust	suspicion
cooperation	“us” against “them”
reduced fear of crime	reduced community input
community leader support	isolation
increased fiscal support	withholding needed resources
increased officer safety	decreased compliance

Positive leadership enhances community respect and trust. Officers gain confidence in their exercise of discretion and effective job performance to enforce the law, focus on crime prevention, adapt to change and provide service to the community on matters of crime and disorder.

“Talent of success is nothing more than doing what you can do well, and doing well whatever you do.”

Henry Wadsworth Longfellow

Continued on next page

Chapter Synopsis

Learning need Peace officers are expected to be leaders in the community, in their agencies, and among peers. To be effective, officers must understand the components of leadership, their responsibility to lead, and the impact of their leadership.

Leadership is important [1.01.8] Every officer has a responsibility to practice leadership. Effective communication and respect demonstrates leadership and is essential to effective problem solving because it engages the cooperation of the community.

Definition of leadership [1.01.9] The practice of influencing people while using ethical values and goals to produce an intended change.

Universal components of leadership [1.01.10] Peace officers can learn to exercise leadership through preparation, knowledge of the leadership role, a desire to lead and a commitment to effective job performance.

Officer as a leader [1.01.11] Peer behaviors are a strong influence on peace officers. It is incumbent on every peace officer to recognize that he or she has the opportunity to influence peers by modeling positive behaviors, taking charge, and sharing information if and when appropriate.

Leader as follower [1.01.12] The condition that permits leadership to exist and give it strength. The day to day operation of an agency depends upon officers exercising leadership in the discharge of their duties.

Impacts of leadership on a peace officer's daily work [1.01.13] Improved communication, problem solving and decision making. Positive leadership increases officer safety, community respect and trust.

Workbook Learning Activities

Introduction

To help you review and apply the material covered in this chapter, a selection of learning activities has been included. No answers are provided. However, by referring to the appropriate text, you should be able to prepare a response.

Activity questions

1. Describe four (4) instances when you have taken a followers position. Why did you do it? As an officer how do you balance loyalty to your agency and constructive criticism?

2. Identify nationally or internationally known leaders. Describe the competencies or traits that make them effective. Identify someone in your personal life you consider a leader. Why?

3. You and your partner respond to a complaint of a disturbance. How can your authority and power as a peace officer demonstrate leadership at the scene?

Continued on next page

Workbook Learning Activities, Continued

**Activity
questions**
(continued)

4. List the leadership skills you need to learn or improve. Explain how these skills will benefit your performance as a peace officer.

5. Why is the exercise of leadership important to the officer and to policing in the community?
-

Workbook Corrections

Suggested corrections to this workbook can be made by going to the POST website at: www.post.ca.gov

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Workbook Corrections, Continued

Student notes

Chapter 2

Professionalism and Ethics in Policing

Overview

Learning need Peace officers are empowered and entrusted by the community with a broad range of power, authority and discretion to maintain safety and order. Professional and ethical standards are the means by which peace officers maintain the public trust. To be effective, a peace officer, must make a life-long commitment to these standards.

Learning objectives The chart below identifies the student learning objectives for this chapter.

After completing study of this chapter, the student will be able to...	Objective ID
<ul style="list-style-type: none">• discuss the relationship between public trust and a peace officer's ability to perform their job	1.02.8
<ul style="list-style-type: none">• discuss the community, agency, and other peace officers' expectations of a peace officer's conduct	1.02.9
<ul style="list-style-type: none">• explain the benefits of professional and ethical behavior to the community, agency, and peace officer	1.02.10
<ul style="list-style-type: none">• describe the consequences of unprofessional/unethical conduct to the community, agency, and peace officer	1.02.11
<ul style="list-style-type: none">• discuss the <i>Law Enforcement Code of Ethics</i> and explain the importance of adhering to the <i>Law Enforcement Code of Ethics</i>	1.02.12

Continued on next page

Overview, Continued

Learning objectives
(continued)

After completing study of this chapter, the student will be able to...	Objective ID
explain why an officer should respond to a coworker's unprofessional or unethical conduct, including the legal basis for such interventions	1.02.13
discuss situations when it is necessary to intervene on another peace officer's behalf, and factors that can inhibit intervention	1.02.14
describe the types and levels of intervention used to prevent another peace officer's inappropriate behavior	1.02.15
give examples of ethical decision making strategies	1.02.16
explain the value of ethical decision making in leadership	1.02.17

Continued on next page

Overview, Continued

In this chapter This chapter focuses on professionalism in law enforcement. Refer to the chart below for specific topics.

Topic	See Page
Professionalism, Public Trust and Ethics	2-4
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Professionalism, Public Trust, and Ethics

Introduction

The Code of Ethics of any profession details the standard of conduct that identifies specific principles of desired behavior required of its practitioners. The profession of policing requires its members to adhere to specific standards in order to maintain the trust and respect of those who are served. Adherence to a code of ethics is required to build and maintain morale, a sense of duty, effective standards of performance and community support.

Peace officers are held to higher standards than others in the community. Although policing shares ideals with other professions, only peace officers are given the authority and power to detain and arrest others and to deprive them of their liberty while awaiting adjudication of their offense. It is essential that officers understand the importance of professional behavior.

Police profession

Policing as a profession requires both specialized training and ethical behavior on the part of individual officers, on-duty and off-duty.

Some would term “law enforcement” a profession although enforcing the law is only a portion of what a peace officer does in his or her daily duties. The use of knowledge, professionalism and leadership, to resolve conflict and influence the best outcome to a circumstance encompasses the spirit of policing every peace officer must seek to embrace.

Professions are recognized by certain characteristics, such as:

- a shared sense of purpose
 - a common body of knowledge
 - standardized training
 - being vital to the well being of society
 - a system of certification or licensing
 - a code of ethical conduct
-

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Professionalism, Public Trust, and Ethics, Continued

Public trust

Public trust is the foundation of peace officers' authority and power by virtue of a social contract with government. This contract spells out the obligation that officers will perform their duties ethically and competently.

Public trust is the expectation that the authority and power entrusted to a peace officer will not be abused. The public must be confident that peace officers will perform their duties in respect of that trust.

Voluntary submission to authority is a function of public trust. The public's confidence and support for officers will be gravely undermined by an officer's unethical conduct.

Factors Impacting Public Trust
<ul style="list-style-type: none">• Previous experiences with law enforcement• Develop or enhance police/community partnerships• General public apathy and prevailing attitudes• Impact of the family structure• Social and/or economic conditions• Situations that promote high levels of fear or a sense of collective victimization• Media treatment of law enforcement events

Values

Each of us possesses **personal values** shaped by our upbringing, events occurring in our lives and the influence of others. Parents, teachers and friends have played a central role in developing our understanding of who we are and how the world around us affects our future.

It is important to remember that the values of one person or group may differ widely from another person or group. Both may perceive their beliefs or conduct as "right" based on their value system.

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Professionalism, Public Trust, and Ethics, Continued

Ethics

Ethics is the accepted **principles** of conduct governing decisions and actions based on **professional values** and expectations. Ethics play a dominant role in an officers daily conduct and personal choices.

Golden rule

A core ethical concept found in all enduring cultures is that of reciprocity. Our actions should be aligned with not only what is good for us, but what benefits others. This is found most prominently in what the American experience terms “The Golden Rule.” It states:

“Do unto others as you would have others do unto you.”

The Golden Rule establishes an essential spirit of ethical conduct. The key to the Golden Rule frames your considered action with a responsibility for the well-being of others. As ethical people, peace officers should:

- put themselves in the position of others,
 - recognize how their actions affect others,
 - seek to help when possible,
 - refrain from causing avoidable harm, and
 - intervene to prevent unethical behavior by peers.
-

Ethical standards

Ethical standards are the criteria for professional conduct. They are established to articulate expectations of the profession regarding the actions of its members and to espouse the core principles of effective and ethical behavior upon which decisions are made.

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Professionalism, Public Trust, and Ethics, Continued

Principles

Principles have evolved as universal standards of societal conduct that supercede personal convictions and beliefs about right and wrong. These enduring concepts, such as trustworthiness, respect, responsibility, fairness, caring and sense of civic duty, are ethical standards people rely on for guidance in decision making. It is important to recognize principles will be affected by your beliefs which have been shaped by:

- personal convictions,
 - religious beliefs,
 - cultural roots,
 - family background,
 - peers (either negatively or positively),
 - department/agency and community expectations, and
 - published and printed material related to professional conduct (e.g., the *Law Enforcement Code of Ethics* or the *Code of Conduct*).
-

Importance of ethical conduct

To embody the spirit of professionalism, ethical conduct must be a way of life for those in policing. To maintain the community's trust, peace officers must maintain consistently high standards of ethical conduct. Officers must model and live as examples of the behavior they are charged to enforce.

The policing community is only as strong as its weakest link. Unethical conduct affects the image and morale of the entire profession and offends officers and society throughout the country.

“We must create an atmosphere in which the dishonest officer fears the honest one, and not the other way around.”

Detective Frank Serpico,
Testifying before the Knapp Commission,
December 1971

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Professionalism, Public Trust, and Ethics, Continued

Career survival

Despite the inherent dangers of the job, many officers who end their careers prematurely do so as a result of making poor ethical decisions.

Peace officers should be ethical and seek to do right because it enhances who they are and develops character in a manner others will see as worthy of respecting and following. Officers don't do right because they fear punishment if they act otherwise. Officers do right because they are acting in a manner that conforms to what they believe; officers actions conform with who they are.

You may not think ethics applies to you now. The issue of ethical choices is applicable both as an entry-level officer and a fact of life. You will inevitably face situations that require sound ethical decisions in tough and sometimes confusing environments.

Only by preparing ahead of time, knowing who you are and what you believe, and thinking about how best to make good choices, will you be ready for the time when your actions will shape the future for you and those around you.

Expectations of Peace Officer Conduct

Introduction

Peace officers are the part of the criminal justice system that deals most directly with the public. Officers, their agencies and the communities they serve have certain expectations of performance of their assigned duties.

Community expectations

The community expects that peace officers will serve the public interest and conduct themselves in an ethical manner.

In addition, the community expects officers to:

- keep the community safe and secure,
 - respond promptly to calls for service,
 - demonstrate professional behavior,
 - protect human rights,
 - address crime and disorder, and
 - solve problems in a fair and impartial manner
-

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Expectations of Peace Officer Conduct, Continued

Community expectations (continued)

Regardless of what segment of the community [suspect, victim, witness] peace officers encounter, there are minimum standards of professional conduct. Each of these groups have differing expectations, explained in the following chart:

Community Member	Expectation	Factors Influencing Expectation
Suspects or Persons of Interest	<ul style="list-style-type: none"> • Basic respect • Preservation of their dignity by the peace officer • Uphold their Constitutional rights and adhere to other statutes of law 	Attitudes have been shaped by: <ul style="list-style-type: none"> • prior experience, • previous criminal history, • previous contacts with the criminal justice system, • treatment by officers, • the attitudes of peers, and • previous victimization
Victims	<ul style="list-style-type: none"> • Emotional support and empathy for their situation • A restored feeling of safety • Time to explain details and concerns fully and equipped to handle the situation appropriately • Feeling of satisfaction on completion of the contact 	Affected emotionally by <ul style="list-style-type: none"> • fear, • embarrassment, • the nature of the incident • anger • a desire to gain retribution for their grievance

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Expectations of Peace Officer Conduct, Continued

Community expectations (continued)

Community Member	Expectation	Factors Influencing Expectation
Witnesses	<ul style="list-style-type: none"> • Provisions for their safety • Information provided has value • Accurately report the known facts • Take appropriate action 	<ul style="list-style-type: none"> • Unwillingness to be involved based upon their fears or apathy • Prior experience personal filters leading to differing ability to relate information

Agency expectations

The peace officer's agency expects:

- conformance with the law,
- compliance with **organizational values**, policies, procedures, goals, objectives, and mission statements,
- ethical and professional behavior consistent with the *Law Enforcement Code of Ethics* and the *Code of Professional Conduct and Responsibilities for Peace Officers*,
- community satisfaction with the quality of service,
- conduct that minimizes civil liability, and
- collaboration with the community to address crime and disorder.

Continued on next page

Expectations of Peace Officer Conduct, Continued

Officer's peer expectation

Within the employing agency, an officer's peers expect:

- technical competence,
 - support, and
 - integrity.
-

Expectations of peace officers

To effectively carry out their assigned duties and fulfill community expectations, peace officers have expectations, including:

- appropriate training,
- adequate resources,
- agency support
- fair and ethical treatment, and
- respect and cooperation of the public.

The wearing of the peace officer's badge creates certain expectations on the part of officers and the individuals they contact.

The badge is given to you as a peace officer because it is important. The badge symbolizes your authority and your commitment to the profession.

The badge is a symbol of public trust. The character of the person behind the badge is more important than the authority the badge represents.

Continued on next page

Expectations of Peace Officer Conduct, Continued

**Community,
agency,
officers
expectations**

The community, your agency, and fellow officers all share the following expectation from you as a policing professional:

Technically competent	Possess the necessary knowledge, skills and abilities to effectively deliver service. Be a problem-solver and exercise leadership with the community. Throughout your career you will be expected to enhance and refine your job knowledge, skills and abilities.
Empathetic	Display a caring and empathetic demeanor when you provide service. Project sincerity. Do not prejudge a person's situation and serve his or her needs impartially and effectively.
Respectful	Approach every incident with an awareness and concern for individual rights and dignity as human beings. Maintain your composure and do not let personal feelings or biases interfere in the performance of your duties.
Ethical	Support the Code of Ethics of your profession. Use the code to guide you throughout your career. Demonstrate integrity. Discharge your duties with the awareness that you represent the trust the community must have in their government and its official representatives.

Report Writing Tip

Ethical decisions

Picture the following behaviors:

- By using the “cut and paste” [computer] method, some officers discover they can save time by documenting the same field sobriety test results in every “driving under the influence” report they write, thus striving for efficiency and not fact.
 - Rather than report precisely what occurred in a “use of force” report, officers align their stories to agree with each other which alter some of the facts.
 - An officer decides to “help out” a burglary victim by intentionally increasing the actual value of items stolen so the victim can claim additional money from the insurance company.
-

Ethical questions

Thinking questions:

- Do these behaviors advance the purpose of report writing? Why or why not?
 - How do these behaviors affect an agency’s reputation, credibility and relationship with the community?
 - What is a peace officer’s responsibility to the profession and community when writing reports?
-

Effective report writing

In the settings described above, officers did not seem to appreciate or respect the ethical obligations of report writing. They did not exhibit an appreciation for the fact that every written word is a permanent record of an event. When used ethically and effectively, the purpose of a police report is to allow the criminal justice system to ensure due process and fundamental fairness without prejudice or favor. These officers do not understand that reports establish, anchor, and define their personal credibility (and reputation) as well as that of their agency. More importantly, they compromised public trust by failing to accomplish the mission of documenting an accurate account of the incident.

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Report Writing Tip, Continued

Minimum requirements when writing a report

When writing a report, the minimum requirements to accomplish your job ethically and preserve the integrity of the criminal justice system are:

- Never falsify any portion of your report or modify any aspect of the report away from the factual truth.
 - Objectively document every fact (or piece of evidence) known to you that could prove or disprove the event you are reporting. If you are not sure, include the fact or piece of evidence anyway and qualify it as possible evidence or investigative information.
 - Be clear. A well-written report does not raise questions, it answers them.
 - Write your report free of speculation or personal opinions. You are there to gather facts.
-

The link

You are responsible for the quality of each report you write. Each report is an opportunity to build or destroy your credibility. Always write precisely what happened to the best of your knowledge. A report determined by a court to be compromised or unethical not only topples your credibility, but your agency's as well - plus it opens the door to challenge every past enforcement action you have performed. Compromising your report is just not worth it and it will raise questions about your effectiveness as a peace officer and may ultimately lead to termination of your employment. It is your obligation to report incidents just as they occurred; anything else is unethical.

Benefits of Professional and Ethical Behavior

Introduction

Professional conduct and ethical behavior benefits not only officers and their agencies, but also their community and society as a whole.

Benefits of ethical behavior

Some benefits of ethical behavior to the officer, their agency, and community are listed in the chart below:

Person Benefitted	How Benefitted
Officer	<ul style="list-style-type: none">• Self-esteem and personal worth• Personal and professional satisfaction in doing the right thing• Gaining respect and confidence of co-workers• Establishing a higher personal and professional reputation in the community
Agency	Professional and ethical conduct help the officer's agency by: <ul style="list-style-type: none">• improving morale• improving agency respect within the profession• reinforcing the standard of performance• improving agency reputation
Community	<ul style="list-style-type: none">• Receives equitable law enforcement• A sense of security and trust• Increases community partnerships• Fosters community mobilization

Consequences of Unethical/Unprofessional Conduct

Introduction

Unethical/unprofessional conduct or breaches in ethical conduct can occur in any profession. The negative effects of such behavior are particularly detrimental to the policing profession. Any indiscretion severely damages the credibility of peace officers and their agencies, and compromises public trust and support.

Consequences of unprofessional/unethical conduct

Unethical/unprofessional conduct directly affects the officer in addition to affecting the image and effectiveness of law enforcement in the community.

Consequences to the officer range from mild to severe and may include the following:

- disciplinary action up to and including termination.
- civil and/or criminal liability (personal and agency).
- embarrassment to stakeholders.
- eroding the image of the profession.
- reinforcement of negative stereotypes.
- reduction of effectiveness.
- diminishing public trust and cooperation.
- compromising officer safety.

An officer often suffers humiliation and low self-image as a result of unethical/unprofessional conduct.

Law Enforcement Code of Ethics/Conduct

Law enforcement code of ethics

The adoption of a uniform code of ethics was one of the most progressive steps achieved by law enforcement. The *Law Enforcement Code of Ethics* was adopted in 1956 by the National Conference of Police Associations, representing some 180,000 police officers, and the International Association of Chiefs of Police. Many agencies and local police associations have adopted the code.

The Commission on Peace Officers Standards and Training Commission (POST) requires that the *Law Enforcement Code of Ethics* be administered to every peace officer in the State of California (POST *Administrative Manual, Section 1013*).

Adherence

Any code is just words until translated into action. Officers give the *Law Enforcement Code of Ethics* life and meaning by following it in their everyday conduct.

Along with members of the law enforcement community at all levels, peace officers uphold the values, ethics, and principles of the profession. Officers are sworn to uphold the principles contained in the code. They also adhere to it as a matter of personal integrity. By adhering to the code, officers demonstrate to the community and to their peers that they are honorable and trustworthy.

Key elements

POST requires that all peace officers abide by the *Law Enforcement Code of Ethics*. Officers should become thoroughly familiar with the code and understand what they promise to uphold.

NOTE: The full text of the *Law Enforcement Code of Ethics* is included in the Supplementary Materials Section of this workbook.

Continued on next page

Law Enforcement Code of Ethics/Conduct, Continued

Code of conduct

California has supplemented the *Law Enforcement Code of Ethics* with a *Code of Professional Conduct and Responsibilities for Peace Officers (Code of Conduct)*. The *Code of Conduct* is designed to enhance the Law Enforcement Code of Ethics by defining specific standards of professional conduct.

The *Code of Conduct*, developed in 1979, is the collective product of the California Peace Officers Association and peace officer representatives throughout the state.

The *Code of Conduct* is comprised of canons and ethical standards.

Canons are general statements of the standards of professional conduct expected of peace officers. These standards apply to the peace officer's relations with the public, the criminal justice system, and the law enforcement profession. The canons are the general concepts from which ethical standards and disciplinary rules are derived.

NOTE: The full text of the *Law Enforcement Code of Conduct* is included in the Supplementary Materials Section of this workbook

Unprofessional Conduct and Intervention

Introduction

Peace officers have a legal and ethical obligation to uphold the law no matter who is breaking it. It does not matter whether the violator is considered an average citizen, a prominent community or corporate leader, or another peace officer.

Officer responsibility to respond

Minding your own business is never a valid excuse for remaining silent. If peace officers disregard unlawful or unethical acts by another officer, they can be as responsible as the offender and as unworthy of wearing the badge. Such officers are equally responsible for embarrassing their agency and the policing profession.

It is a peace officer's responsibility to intervene to stop offenses by other officers. Agency policy and ethical obligations generally require the officer to report the incident to a supervisor.

Intervention

Intervention is the act of attempting to prevent or attempting to stop the inappropriate or unlawful behavior of another.

Appropriate intervention allows peace officers to maintain or restore professional control over a given situation or improve the professional quality of future interactions.

Continued on next page

Unprofessional Conduct and Intervention, Continued

Intervention (continued)

An officer is guilty of having failed to intervene and prevent other officers from violating anyone's rights while having reason to know:

- unreasonable force was being used,
- a member of the public was unjustifiably arrested,
- any constitutional violation has been committed by any law enforcement officer,
- the officer had a reasonable opportunity to prevent harm from occurring (*Yang v. Hardin*, 7th Cir. 1994),
- inappropriate language is being used, or
- other unlawful, unethical or inappropriate behavior (e.g. theft), occurred.

NOTE: Refer to Penal Code Sections 147, 149, 661 and 673 and USC Title 18 Section 242 and Title 42 Section 1983.

Federal law regarding officer behavior

The *U.S. Constitution* provides protection for individuals against unlawful actions by peace officers. The *United States Code* also addresses an officer's unlawful action under color of authority. (*USC Title 18, Sections 242 (Criminal); U.S.C. Title 42, Section 1983 (Civil)*).

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Unprofessional Conduct and Intervention, Continued

State legal basis for intervention

A variety of state laws and criminal sanctions regulate the behavior of California peace officers. These codes are shown in the table below:

Description	Penal Code Section
Inhumane or oppressive treatment of prisoners, unreasonable use of force, or assaulting or beating anyone	147, 149 and 673
Neglecting official duty while holding a public office	661

NOTE: In addition to actions regulated by code, several court decisions have held that peace officers have a responsibility to intervene in certain circumstances.

Public expectations of intervention regarding force

The community expects peace officers to use only the amount of force that is reasonable. It also expects that officers will intervene to stop any unethical or unprofessional conduct by another peace officer. When officers intervene appropriately, their professionalism, personal and organizational credibility are enhanced.

NOTE: For additional information regarding the use of force, see LD 20: *Use of Force*.

Continued on next page

Unprofessional Conduct and Intervention, Continued

Factors inhibiting intervention

An officer may fail to take action when a fellow officer is behaving unprofessionally or inappropriately because of several factors. An officer may not intervene because he or she:

- is friends with the coworker or fellow officer involved,
- is inexperienced or unfamiliar with the proper action to remedy the situation,
- feels that intervention is someone else's responsibility,
- feels peer pressure,
- fears consequences, such as being ostracized,
- believes there will be no support from administration, senior officers, field training officers (FTOs) or supervisors (e.g., getting a bad evaluation), or
- is psychologically unprepared to intervene (e.g., erroneous notion of how peace officers should behave, possibly due to influence of movies, and television).

Officers must come to terms with these issues in order to intervene effectively.

Continued on next page

Unprofessional Conduct and Intervention, Continued

Necessity for intervention

Peace officers benefit from appropriate intervention. Peace officers are *required* to attempt intervention, if necessary, for the following reasons:

- Personal integrity demands it.
- It preserves professionalism and supports the law enforcement mission.
- It strengthens public confidence in the law enforcement profession and the agency involved.
- It reduces personal and agency liability because it results in fewer:
 - physical injuries arising from unreasonable force,
 - disciplinary actions and personnel complaints,
 - criminal complaints filed against officers, and
 - civil liability suits, including fewer punitive financial judgments against individual officers.
- It enhances officer safety.
- It is ethically correct.

Types of intervention

A variety of strategies can be used to intervene with a coworker. Three types of intervention are:

- advance,
- immediate, and
- delayed.

Continued on next page

Unprofessional Conduct and Intervention, Continued

Advance intervention

Advance intervention means taking an action before an inappropriate action is committed. If peace officers communicate their law enforcement values clearly in everyday work, they may prevent a coworker's unprofessional conduct. An officer is less likely to behave inappropriately when the officer knows that coworkers won't tolerate unethical behavior. Coworkers can use the following methods of intervention:

- discussion of expectations
 - merely showing up at the scene
 - statement of expectations
 - command presence
-

Immediate intervention

In some situations, if a coworker or fellow officer behaves inappropriately, it may be necessary to intervene immediately, either verbally or physically. The following table describes the levels of immediate intervention:

Level of Intervention		Description
Verbal intervention		Verbally offering to take over or assist the situation or reminding fellow officer of appropriate behavior.
Physical intervention	Touching	Touching the officer on the shoulder or arm and offering a tactful reminder to calm down or to take over.
	Stepping in	Stepping between the offending officer and the other person (if this can be safely accomplished) and diffusing the situation with a calm statement such as "Let me talk to him."
	Restraining	Physical restraint of the officer may be necessary if the officer is using unreasonable physical force.

Continued on next page

Unprofessional Conduct and Intervention, Continued

Examples

- Example: An officer's partner has a daughter the same age as a girl who was molested. While arresting the child molestation suspect, the partner began to get agitated and angry. The officer recognized that his partner might become abusive and said, "Hey, partner, let me take care of this one, okay?" This is an example of verbal intervention.
- Example: An officer was engaged in a heated verbal confrontation with a subject, and the officer was starting to become increasingly agitated. Her partner touched the officer's arm in an attempt to calm her and offered to take over. This is an example of touching as an immediate intervention.
- Example: An officer used his baton to subdue a fleeing subject. After handcuffing the subject, the officer brought his baton above his head, getting ready to hit the subject again. The officer's partner grabbed his arm and prevented him from hitting the subject while talking to him and calming him down. This is an example of restraining a fellow officer.
-

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Unprofessional Conduct and Intervention, Continued

Delayed intervention

Sometimes it may be desirable to use an intervention strategy after an incident has occurred. Delayed intervention can be a valuable tool for improving the quality of an officer's *future* contacts. Some delayed intervention techniques are shown in the table below.

Delayed Intervention Techniques	Description
Discussion/admonishment	It can be beneficial to discuss the improprieties of unprofessional behavior. This may be an appropriate follow-up if a fellow officer was verbally condescending to someone. May inform a fellow officer that this type of behavior is not acceptable and may provoke a situation.
Referral/training	Referring to a supportive organization or a supportive third party within the agency. Suggest additional training to improve conduct.
Reporting	Factual documentation in a report; following the chain of command; urging self-reporting; directly reporting to a supervisor.

Continued on next page

Unprofessional Conduct and Intervention, Continued

Examples

Example: A male officer continually talks down to female officers, implying that they are only fit for office duties. In the locker room after one of these incidents, another officer explains to him that these comments reflect poorly on him and that other officers think less of him because of these remarks. This is an example of using discussion as delayed intervention.

Example: An officer uses vulgar or demeaning language in contacts with minorities. After observing this behavior when the officer brings in a subject for questioning, the officer's supervisor calls him into his office and reminds him that this type of behavior is not acceptable and this language is unprofessional and likely to provoke or escalate conflict. This is an example of admonishment.

Ethical Decision Making and Leadership

Introduction

Ethics is not about what you *know*, it's about what you *do*. It is not enough to follow policy and procedure, or merely comply with the law when electing a course of action as a peace officer.

What is “best” is sometimes confusing when conflicting priorities, human emotions and the stress of policing can combine to tempt you to take the easy choice or take the first option that comes to mind.

Decisions made with an ethical dimension demand you make them by considering the perspectives of all involved and balance order in society with the liberty each of us enjoys.

Ethical decision making strategies

There are several strategies or models available as “tools” to facilitate peace officers in making the right ethical decision in a difficult and challenging law enforcement environment. In almost every model there are common steps incorporated as part of the strategic process. Officers should adopt, understand and use an effective decision making process to guide and assist them throughout their career.

The common steps are :

- Identify the issue(s), relevant facts and/or ethical question(s)
 - Determine the stakeholders - Who may be affected by a decision?
 - Consider your options, or courses of action - What could you do?
 - Decide which option is most appropriate - What should you do?
 - What are the consequences of your decision?
 - Implement the option and course of action.
 - Reassess and make new decision, if necessary.
-

Continued on next page

Ethical Decision Making and Leadership, Continued

Ethical decision making strategies (continued)

Peace officers must make decisions:

- based on the law and professional standards,
- using community values and needs that are not in conflict with the law,
- based on the needs of the individual, sound tactics and the long term impact of the situation.

Some suggested ways to implement decisions:

- Peace officers don't let emotions dictate actions. If possible, reflect on the situation. Do I act now or later?
- What is my intent? If I make this decision, what would be my ideal end result?
- Ask yourself: do I have all the facts? If not, what do I need to know and where do I get the information?
- What alternatives are available? Ask yourself if other approaches would yield better results based on your desired outcome.
- Who and what will this decision impact? Consider benefits and harm, tactics and safety issues. The decisions peace officers make have impacts on relationships, reputations and public opinion (perception).
- When you act, try to put yourself in another person's position. Who would approve or disapprove: Why would they? What would your Captain or an officer you highly respect do?
- Don't get stuck on the decision, if necessary. Monitor and assess. If you get better information, don't be afraid to make changes to your decision.

Continued on next page

Ethical Decision Making and Leadership, Continued

Examples

Example:

Bell, Book, Candle

- The Bell - Do any “bells” or warning buzzers go off as I consider my choice or alternative?
- The Book - Does it violate any laws, ordinances, policies, procedures, etc.?
- The Candle - Will my decision be able to withstand the light of day, spotlight of media attention, publicity, family? (Adapted from Josephson Institute of Ethics)

Example:

Legal, Ethical, Effective

- Is it legal?
- Is it permitted by your agency policy, procedure, code of conduct?
- How would it be viewed by your agency, community and fellow peace officers?
- Does your personal code of ethics give the choice a “thumbs-up”?
- Is it a true ethical dilemma? Do both choices appear to be right?
- Will it accomplish desired outcomes and be consistent with the traits and competencies of an ethical peace officer?

Continued on next page

Ethical Decision Making and Leadership, Continued

Ethical decision making and leadership

Peace officers who practice the competencies of ethical leadership with the requisite skills of problem-solving, will be better equipped to arrive at appropriate solutions in decision making.

In the challenging work environment that faces peace officers, these decisions can often be difficult. Peace officers who rely on a code of ethics and are guided by effective techniques, will implement actions that are fair, legal and just.

Chapter Synopsis

Learning need Peace officers are empowered and entrusted by the community with a broad range of power, authority and discretion to maintain safety and order. Professional and ethical standards are the means by which peace officers maintain the public trust. To be effective, a peace officer, must make a life-long commitment to these standards.

Profession and public trust [1.02.8] The profession of policing requires its members to adhere to specific standards in order to maintain the trust and respect of those who are served. Public trust is the foundation of peace officers' authority and power by virtue of a social contract with government.

Ethics are the accepted principles of conduct governing decisions and actions based on professional values and expectations.

Expectations of peace officers conduct [1.02.9] The community expects that peace officers' will serve the public interest and conduct themselves in an ethical manner. Their agency expects conformance with the law. Officers expect appropriate training and fair and ethical treatment.

Benefits of ethical behavior [1.02.10] Professional conduct and ethical behavior benefits not only officers and their agencies, but also the community and society as a whole.

Consequences of unethical/unprofessional conduct [1.02.11] Unethical/unprofessional conduct or breaches in ethical conduct can occur in any profession. The negative effects of such behavior are particularly detrimental in the policing profession.

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Chapter Synopsis, Continued

**Law
enforcement
code of
ethics/conduct
[1.02.12]**

The *Law Enforcement Code of Ethics* was adopted as a uniform code of ethics to guide the peace officer. By adhering to the code, officers demonstrate to the community and to their peers that they are honorable and trustworthy. The *Code of Conduct* is designed to enhance the *Law Enforcement Code of Ethics*.

**Unprofessional
conduct and
intervention
[1.02.13,
1.02.14, 1.02.15]**

Peace officers have a legal and ethical obligation to uphold the law no matter who is breaking it. It does not matter whether the violator is considered an average citizen, a prominent community or corporate leader, or another peace officer.

**Ethical
decision
making and
leadership
[1.02.16,
1.02.17]**

Ethics is not about what you know, it's about what you do. What is "best" is sometimes confusing when conflicting priorities, human emotions and the stress of policing can combine to tempt one to grasp at the easy choice or take the first option that comes to mind.

Peace officers who practice the competencies of ethical leadership with the requisite skills of problem-solving, will be better equipped to arrive at appropriate solutions in decision making.

Workbook Learning Activities

Introduction

To help you review and apply the material covered in this chapter, a selection of learning activities has been included. No answers are provided. However, by referring to the appropriate text, you should be able to prepare a response.

Activity questions

1. Over the course of several weeks on patrol, a peace officer notices that her partner seems to target Latino teens for drug possession arrests, while overlooking similar suspicious activities when white teens are engaged. Do you think the partner's actions might constitute unethical behavior? Why or why not? What, if any, action should the officer take to intervene?

2. A peace officer notices that his partner of several years has begun to use discourteous tones on vehicle stops and excessive roughness in dealing with other subjects, though no one has been injured. Give two examples of interventions the officer might use and identify whether each is an advance, immediate, or delayed intervention.

Continued on next page

Workbook Learning Activities, Continued

**Activity
questions**
(continued)

3. Name five traits a peace officer should exemplify. Then, describe the effect the absence of each of these traits could have on the officer's ability to professionally carry out his or her job.

4. Angry at a subject after a long foot pursuit, the pursuing officer struck the subject after bringing him under control. The officer's partner made no attempt to intervene. The strike was witnessed by several bystanders. What consequences to each officer might result from this action?

Continued on next page

Workbook Learning Activities, Continued

**Activity
questions**
(continued)

5. What is the *Code of Professional Conduct and Responsibilities for Peace Officers*? How does this supplement the Law Enforcement *Code of Ethics*?
6. Why does it matter whether peace officers are personally ethical as long as they adhere to the law?

Continued on next page

Workbook Learning Activities, Continued

**Activity
questions**
(continued)

7. What do you think makes an individual ethical? Consider the classic dilemma of the person who cannot afford the only medicine that will save his or her spouse's life. Is it ethical to steal the medicine in this case? Explain your answer. As a peace officer encountering the person who stole under these circumstances, what would your responsibilities be? How might this differ, if at all, from your personal feelings?

8. List four promises peace officers make when they agree to abide by the *Law Enforcement Code of Ethics*.
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Supplementary Material

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Law Enforcement Code of Ethics	S-2
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Law Enforcement Code of Ethics

Law enforcement code of ethics

As a law enforcement officer, my fundamental duty is to serve mankind:

- to safeguard lives and property,
- to protect the innocent against deception, the weak against oppression or intimidation, and the peaceful against violence or disorder, and
- to respect the Constitutional rights of all men to liberty, equality and justice.

I will keep my private life unsullied as an example to all; maintain courageous calm in the face of danger, scorn, or ridicule; develop self restraint; and be constantly mindful of the welfare of others. Honest in thought and deed in both my personal and official life, I will be exemplary in obeying the laws of the land and the regulations of my agency. Whatever I see or hear of confidential nature or that is confided to me in my official capacity will be kept ever secret unless revelation is necessary in the performance of my duty.

I will never act officiously or permit personal feelings, prejudices, animosities or friendships to influence my decisions. With no compromise for crime and with relentless prosecution of criminals, I will enforce the law courteously and appropriately without fear or favor, malice or ill will, never employing unnecessary force or violence and never accepting gratuities.

I recognize the badge of my office as a symbol of public faith, and I accept it as a public trust to be held so long as I am true to the ethics of the police service. I will constantly strive to achieve these objectives and ideals, dedicating myself before God to my chosen profession..... law enforcement.

Code of Professional Conduct and Responsibility for Peace Officers

Preamble

WHEREAS, peace officers are vested with a public trust which requires that they consistently demonstrate the highest degree of integrity and good moral character; and

WHEREAS, the need to maintain high standards of moral character, integrity, knowledge, and trust requires the establishment of a Code of professional Conduct and Responsibility for Peace Officers as a matter of the highest significance to the health, welfare, and safety of the citizens of this state; and

WHEREAS, the establishment of a Code of Professional Conduct and Responsibility for Peace Officers, which includes Cannons of Ethics and minimum standards, requires the granting of authority to enforce these standards of professional conduct through disciplinary action as necessary for the protection of the health, welfare, and safety of the public;

BE IT RESOLVED that the need to maintain high standards of moral character, integrity, knowledge, and trust require that peace officers establish and conform to a Code of Professional Conduct and Responsibility for Peace Officers.

General statement

Peace officers are granted a public trust which requires that they consistently demonstrate the highest degree of integrity. To be worthy of this public trust, and to ensure that their professional conduct is above reproach, members of the peace officer profession must not only conform to a Code of Ethics but must also abide by these Cannons of Ethics and Ethical Standards which constitute this **Code Of Professional Conduct and Responsibility for Peace Officers** as a means of internal regulation.

The essence of a profession requires that, in addition to prescribing a desired level of performance, it must establish minimum standards of ethical conduct with prescribed rules for internal discipline to ensure compliance. Accordingly, this **Code of Professional Conduct and Responsibility for Peace Officers** is established for the peace officer profession.

Continued on next page

Code of Professional Conduct and Responsibility for Peace Officers, Continued

General statement
(continued)

Nothing in the *Code of Professional Conduct and Responsibility for Peace Officers* is intended to limit or supersede any provision of law referring to the duties and obligations of peace officers or the consequences of a violation thereof. Whereas these rules specify certain conduct as unprofessional, this is not to be interpreted as approval of conduct not specifically mentioned.

Nothing in this Code is intended to limit the authority of an agency to adopt and enforce rules and regulations that are more stringent or comprehensive than those that are contained in this *Code of Professional Conduct and Responsibility for Peace Officers*.

Definitions

This *Code of Professional Conduct and Responsibility for Peace Officers* is comprised of nine Canons of Ethics, with explanatory statements in the form of Ethical Standards. Examples of Disciplinary Rules and Enforcement Procedures are included as an addendum for individual agency consideration. Following are definitions of these terms, as used in the context of the Code:

Term	Definition
Peace Officer	A regular employed and full-time sheriff, undersheriff, or deputy sheriff of a county; a chief of police, or any police officer of a city or any chief of police or police officer of a district authorized by law to maintain a police agency; or any other person within the state who is defined as a peace officer

Continued on next page

Code of Professional Conduct and Responsibility for Peace Officers, Continued

Definitions
(continued)

Term	Definition
Canons	Statements which express in general terms, standards of professional conduct expected of peace officers in their relationship with the public, the criminal justice system, and peace officer profession. They embody the general concepts from which the Ethical Standards and the Disciplinary Rules are derived.
Ethical Standards	Statements that represent the objectives toward which every peace officer shall strive. They constitute principles that can be relied upon by the peace officer for guidance in specific situations.
Disciplinary Rules	Specify an unacceptable level of conduct for all peace officers, regardless of their rank or the nature of their assignment. Any peace officer who violates any agency rule that applies to these canons and standards is guilty of unprofessional conduct and is subject to disciplinary action. Violation of disciplinary rules requires appropriate adjudication and disciplinary action ranging from oral reprimand to termination and/or criminal prosecution or other administrative action sanctioned by law, as dictated by the individual case.

Continued on next page

Code of Professional Conduct and Responsibility for Peace Officers, Continued

Definitions
(continued)

Term	Definition
Enforcement Procedures	The fundamental rights of an accused officer which are applicable to a disciplinary investigation or proceeding against the officer.
Administrative Investigation	An investigation conducted to determine whether an officer has violated any provision of this code or agency rule or regulation; or whether an officer is impaired or unfit to perform the duties and responsibilities of a peace officer.
Formal Discipline	This is the final adjudication of administrative or disciplinary charges. Formal discipline shall be deemed final only after an officer has exhausted or waived all legal remedies available and actual discipline has been invoked.

Continued on next page

Code of Professional Conduct and Responsibility for Peace Officers, Continued

Canons of ethics

Canon One	Ethical Standards	
<p>Peace officers shall uphold the Constitution of the United States, the State Constitution, and all laws enacted or established pursuant to legally constituted authority.</p>	Standard 1.1	Peace officers shall recognize that the primary responsibility of their profession and of the individual officer is the protection of the people within the jurisdiction of the United States through upholding of their laws, the most important of which are the Constitution of the United States and State Constitutions and laws derived therefrom.
	Standard 1.2	Peace officers shall be aware of the extent and the limitations of their authority in the enforcement of the law.
	Standard 1.3	Peace officers shall diligently study principles and new enactments of the laws they enforce.
	Standard 1.4	Peace officers shall be responsible for keeping abreast of current case law as applied to their duties.
	Standard 1.5	Peace officers shall endeavor to uphold the spirit of the law, as opposed to enforcing merely the letter of the law.
	Standard 1.6	Peace officers shall respect and uphold the dignity, human rights, and Constitutional rights of all persons.

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Code of Professional Conduct and Responsibility for Peace Officers, Continued

Canons of ethics (continued)

Canon Two	Ethical Standards	
<p>Peace officers shall be aware of and shall use proper and ethical procedures in discharging their official duties and responsibilities.</p>	Standard 2.1	Peace officers shall be aware of their lawful authority to use that force reasonably necessary in securing compliance with their lawful enforcement duties.
	Standard 2.2	Peace officers shall truthfully, completely, and impartially report, testify, and present evidence in all matters of an official nature.
	Standard 2.3	Peace officers shall follow legal practices in such areas as interrogation, arrest or detention, searches, seizures, use of informants, and collection and preservation of evidence.
	Standard 2.4	Peace officers shall follow the principles of integrity, fairness, and impartiality in connection with their duties.

Continued on next page

Code of Professional Conduct and Responsibility for Peace Officers, Continued

Canons of ethics (continued)

Canon Three	Ethical Standards	
<p>Peace officers shall regard the discharge of their duties as a public trust and shall recognize their responsibilities to the people whom they are sworn to protect and serve.</p>	Standard 3.1	Peace officers, as professionals, shall maintain an awareness of those factors affecting their responsibilities.
	Standard 3.2	Peace officers, during their tour of duty, shall diligently devote their time and attention to the effective and professional performance of their responsibilities.
	Standard 3.3	Peace officers shall ensure that they are prepared for the effective and efficient undertaking of their assignment.
	Standard 3.4	Peace officers shall safely and efficiently use equipment and material available to them.
	Standard 3.5	Peace officers shall be prepared to and shall respond effectively to the demands of their office.
	Standard 3.6	Peace officers, with due regard for compassion, shall maintain an objective and impartial attitude in official contacts.

Continued on next page

Code of Professional Conduct and Responsibility for Peace Officers, Continued

Canons of ethics (continued)

Canon Three (continued)	Ethical Standards	
<p>Peace officers shall regard the discharge of their duties as a public trust and shall recognize their responsibilities to the people whom they are sworn to protect and serve.</p>	Standard 3.7	Peace officers shall not allow their personal convictions, beliefs, prejudices, or biases to interfere unreasonably with their official acts or decisions.
	Standard 3.8	Peace officers shall recognize that their allegiance is first to the people, then to their profession and the governmental entity or agency that employs them.

Continued on next page

Code of Professional Conduct and Responsibility for Peace Officers, Continued

Canons of ethics (continued)

Canon Four	Ethical Standards	
<p>Peace officers will so conduct their public and private life that they exemplify the high standards of integrity, trust, and morality demanded of a member of the peace officer profession.</p>	Standard 4.1	Peace officers shall refrain from consuming intoxicating beverages to the extent that it results in impairment which brings discredit upon the profession or their employing agency, or renders them unfit for their next tour of duty.
	Standard 4.2	Peace officers shall not consume intoxicating beverages while on duty, except to the degree permitted in the performance of official duties, and under no circumstances while in uniform.
	Standard 4.3	Peace officers shall not use any narcotics, hallucinogens, or any other controlled substance except when legally prescribed. When such controlled substances are prescribed, officers shall notify their superior officer prior to reporting for duty.
	Standard 4.4	Peace officers shall maintain a level of conduct in their personal and business affairs in keeping with the high standards of the peace officer profession. Officers shall not participate in any incident involving moral turpitude.

Continued on next page

Code of Professional Conduct and Responsibility for Peace Officers, Continued

Canons of ethics (continued)

Canon Four (continued)	Ethical Standards	
<p>Peace officers will so conduct their public and private life that they exemplify the high standards of integrity, trust, and morality demanded of a member of the peace officer profession.</p>	Standard 4.5	Peace officers shall not undertake financial obligations which they know or reasonably should know they will be unable to meet and shall pay all just debts when due.
	Standard 4.6	Peace officers shall not engage in illegal political activities.
	Standard 4.7	Peace officers shall not permit or authorize for personal gain the use of their name or photograph and official title identifying them as peace officers in connection with testimonials or advertisements for any commodity, commercial enterprise, or commercial service which is not the product of the officer involved.
	Standard 4.8	Peace officers shall not engage in any activity which would create a conflict of interest or would be in violation of any law.
	Standard 4.9	Peace officers shall at all times conduct themselves in a manner which does not discredit the peace officer profession or their employing agency.

Continued on next page

Code of Professional Conduct and Responsibility for Peace Officers, Continued

Canons of ethics (continued)

Canon Four (continued)	Ethical Standards	
<p>Peace officers will so conduct their public and private life that they exemplify the high standards of integrity, trust, and morality demanded of a member of the peace officer profession.</p>	Standard 4.10	Peace officers shall not be disrespectful in their official dealings with the public, fellow officers, superiors and subordinates.
	Standard 4.11	Peace officers shall be courteous and respectful in their official dealings with the public, fellow officers, superiors and subordinates.
	Standard 4.12	Peace officers shall not engage in any strike, work obstruction or abstention, in whole or in part, from the full, faithful and proper performance of their assigned duties and responsibilities, except as authorized by law.
	Standard 4.13	Peace officers shall maintain a neutral position with regard to the merits of any labor dispute, political protest, or other public demonstration, while acting in an official capacity.

Code of Professional Conduct and Responsibility for Peace Officers, Continued

Canons of ethics (continued)

Canon Five	Ethical Standards	
<p>Peace officers shall recognize that our society holds the freedom of the individual as a paramount precept which shall not be infringed upon without just, legal and necessary cause.</p>	Standard 5.1	Peace officers shall not restrict the freedom of individuals, whether by detention or arrest, except to the extent necessary to legally and reasonably apply the law.
	Standard 5.2	Peace officers shall recognize the rights of individuals to be free from capricious or arbitrary acts which deny or abridge their fundamental rights as guaranteed by law.
	Standard 5.3	Peace officers shall not use their official position to detain any individual, or to restrict the freedom of any individual, except in the manner and means permitted or prescribed by law.

Continued on next page

Code of Professional Conduct and Responsibility for Peace Officers, Continued

Canons of ethics (continued)

Canon Six	Ethical Standards	
<p>Peace officers shall assist in maintaining the integrity and competence of the peace officer profession.</p>	Standard 6.1	Peace officers shall recognize that every person in our society is entitled to professional, effective, and efficient law enforcement services.
	Standard 6.2	Peace officers shall perform their duties in such a manner as to discourage double standards.
	Standard 6.3	Peace officers shall conduct themselves so as to set exemplary standards of performance for all law enforcement personnel.
	Standard 6.4	Peace officers shall maintain the integrity of their profession, through complete disclosure of those who violate any of these rules of conduct, violate any law, or who conduct themselves in a manner which tends to discredit the profession.
	Standard 6.5	Peace officers shall have responsibility for reporting to proper authorities any known information which would serve to disqualify candidates from transferring within or entering the profession.

Continued on next page

Code of Professional Conduct and Responsibility for Peace Officers, Continued

Canons of ethics (continued)

Canon Six (continued)	Ethical Standards	
<p>Peace officers shall assist in maintaining the integrity and competence of the peace officer profession.</p>	Standard 6.6	Peace officers shall be responsible for maintaining a level of education and training that will keep them abreast of current techniques, concepts, laws, and requirements of the profession.
	Standard 6.7	Chief executive peace officers shall accept the responsibility of utilizing all available resources and the authority of their office to maintain the integrity of their agency and the competency of their officers. These Canons and Ethical Standards shall apply to all legally defined peace officers regardless of rank.
	Standard 6.8	Peace officers shall assume a leadership role in furthering their profession by encouraging and assisting in the education and training of other members of the profession.

Continued on next page

Code of Professional Conduct and Responsibility for Peace Officers, Continued

Canons of ethics (continued)

Canon Seven	Ethical Standards	
<p>Peace officers shall cooperate with other officials and organizations who are using legal and ethical means to achieve the goals and objectives of the peace officer profession.</p>	Standard 7.1	Peace officers, within legal and agency guidelines, shall share with personnel both within and outside their agency, appropriate information that will facilitate the achievement of criminal justice goals or objectives.
	Standard 7.2	Peace officers, whether requested through appropriate channels or called upon individually, shall render needed assistance to any other officer in the proper performance of their duty.
	Standard 7.3	Peace officers shall, within legal and agency guidelines, endeavor to communicate to the people of their community the goals and objectives of the profession and keep them apprised of conditions which threaten the maintenance of an ordered society.

Continued on next page

Code of Professional Conduct and Responsibility for Peace Officers, Continued

Canons of ethics (continued)

Canon Eight	Ethical Standards	
<p>Peace officers shall not compromise their integrity, nor that of their agency or profession, by accepting, giving, or soliciting any gratuity.</p>	Standard 8.1	<p>Peace officers shall refuse to offer, give, or receive gifts, favors or gratuities, either large or small, which can be reasonably interpreted as capable of influencing official acts or judgments. This standard is not intended to isolate peace officers from normal social practices or relatives, where appropriate.</p>
	Standard 8.2	<p>Peace officers shall not consider their badge of office as a license designed to provide them with special favor or consideration.</p>

Continued on next page

Code of Professional Conduct and Responsibility for Peace Officers, Continued

Canons of ethics (continued)

Canon Nine	Ethical Standards	
<p>Peace officers shall observe the confidentiality of information available to them through any source, as it relates to the peace officer profession.</p>	Standard 9.1	Peace officers shall be aware of and shall meticulously observe all legal restrictions on the release and dissemination of information.
	Standard 9.2	Peace officers shall treat as confidential the official business of their employing agency, and shall release or disseminate such information solely in an authorized manner.
	Standard 9.3	Peace officers shall treat as confidential that information confided to them personally. They shall disclose such information as required in the proper performance of their duties.
	Standard 9.4	Peace officers shall neither disclose nor use for their personal interest any confidential information acquired by them in the course of their official duties.
	Standard 9.5	Peace officers shall treat as confidential all matters relating to investigations, internal affairs, and personnel.

References and Suggested Reading Material

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The following references and suggested readings may provide useful information and training resources.

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Ethics Resource Center. www.ethics.org

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References and Suggested Reading Material, Continued

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Glossary

Introduction **The following glossary terms apply only to Learning Domain 1: Leadership, Professionalism, and Ethics.**

authority A peace officers right to influence others that is granted by law

canons General statements of the standards of professional conduct expected of peace officers

commitment An outward manifestation of an internal agreement/willingness to embrace the leadership values and agency goals

compliance Acceptance of a person's authority. It yields to an outward change in behavior, without an accompanying alteration of attitude

disciplinary rules Rules established by each law enforcement agency that specify unacceptable levels of peace officer conduct

ethical standards The criteria set for professional conduct. Statements of the specific objectives for which peace officers should strive are found in the *Code of Conduct*

ethics The accepted principles of conduct governing decisions and actions based on professional values and expectations

intervention The act of attempting to prevent or attempting to stop the inappropriate or unlawful behavior of another officer

Continued on next page

Glossary, Continued

leadership The practice of influencing people while using ethical values and goals to produce an intended change

organizational values The collective beliefs that characterize an organization

power capacity to influence and inspire others

personal values The individual beliefs that a person relies on in making the personal decisions in his/her daily life

principles Ethical standards that people rely on for guidance in decision making

professional values The beliefs that are fundamental to and characterize a specific vocational group or discipline

professionalism Adherence to high standards of behavior and training required for employment in a particular occupation or profession

public trust The foundation of a peace officer's authority and power, by virtue of a social contract with the government

statutory codes Laws enacted to preserve the public order by defining an offense against the public and imposing a penalty for its violation

values The fundamental beliefs upon which decisions and conduct are based
