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THESIS

**STACKING THE DECK—CAN WE BETTER DEVELOP
FUTURE HOMELAND SECURITY LEADERS WITH
FORMAL MENTORING PROGRAMS?**

by

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September 2014

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**STACKING THE DECK—CAN WE BETTER DEVELOP FUTURE HOMELAND
SECURITY LEADERS WITH FORMAL MENTORING PROGRAMS?**

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ABSTRACT

Informal mentoring appears to be the status quo in homeland security agencies for leadership development. However, informal mentoring is flawed due to the lack of organizational input into the quantity or quality of the mentoring relationships, underrepresentation of minority groups, and generational differences. The thesis explores the research question, “Is the establishment of a formal mentoring program a smart practice for homeland security agencies to develop future leaders?”

Case studies of the California Highway Patrol Coaching and Mentoring Program, the Lansing (Michigan) Police Department Mentor Program, and the Henrico County (Virginia) Division of Fire Acting Officer program were conducted in an effort to identify smart practices for other homeland security agencies to use when implementing a formal mentoring program. Research revealed that if properly implemented, formal mentoring programs can assist organizations with employee retention, succession planning, leadership development, closing generational gaps, and transferring organizational knowledge and skill among employees. The outcome of this thesis is a list of smart practices for formal mentoring programs. It will be up to the individual agencies to identify which smart practices fit the culture of their organization when creating a formal mentoring program, as no “one size fits all” model exists for a formal mentoring program.

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LIST OF ACRONYMS AND ABBREVIATIONS

ALS	advanced life support
CHDS	Center for Defense and Homeland Security
CHP	California Highway Patrol
CTO	Communications Training Officer
DHS	Department of Homeland Security
EMT	emergency medical technician
FOP	Fraternal Order of Police
FTO	Field Training Officer
IACP	International Association of Chiefs of Police
IFSTA	Fire Service Training Association
LPD	Lansing Michigan Police Department
NPS	Naval Postgraduate School
OOD	Office of Organizational Development

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EXECUTIVE SUMMARY

This thesis is an exploration of the use of formal mentoring programs in homeland security disciplines for leadership development and addressing problem issues in an attempt to answer the primary research question: Is the establishment of a formal mentoring program a smart practice for homeland security agencies to develop future leaders? In addition to addressing this question, a secondary goal is to identify smart practices for leadership development and address problem issues with formal mentoring programs that could help organizations find the right strategy and policy for their specific needs.

Mentoring involves personal interaction between an individual with a high level of knowledge and experience (the mentor) who supports and assists a less experienced person (the protégé).¹ Mentoring has three primary functions: role-modeling, psychosocial support, such as listening and advising, and career development support, such as promotion.² Each of these functions provides mutual benefits for the mentor, protégé, and organization, such as increased productivity and organizational commitment, improved communication, higher job satisfaction, faster employee integration, and higher employee retention rates.³

The primary difference between informal and formal mentoring programs is how the interpersonal relationships between participants are formed. Informal mentoring relationships form on their own, usually between those who have a common interest or ideals.⁴ Formal mentoring relationships are typically established by the organization.

¹ Belle Rose Ragins and John L. Cotton, "Mentor Functions and Outcomes: A Comparison of Men and Women in Formal and Informal Mentoring Relationships," *Journal of Applied Social Psychology* 84, no. 4 (1999): 529.

² Belle Rose Ragins and Kathy E. Kram, *The Handbook of Mentoring at Work: Theory, Research, and Practice* (Thousand Oaks, CA: SAGE, 2007), 163.

³ Ibid.

⁴ Frank A. Colaprete, *Mentoring in the Criminal Justice Professions: Conveyance of the Craft* (Springfield, IL: Charles C Thomas Publisher, 2009), 118–120.

Mentoring has traditionally been conducted informally,⁵ and informal mentoring appears to be the status quo for homeland security agencies. History shows mentoring is not a new concept, but formal mentoring is new by comparison to informal mentoring. Increases in the academic study of mentoring, and the implementation of formal mentoring programs in both the public and private sectors, has resulted in changes to longstanding mentoring practices, especially in the last three decades.⁶

As Baby Boomers—born between 1946 and 1964⁷—retire, another generation is coming into the workforce—Millennials. In November 2011, MTV conducted an on-line survey of Millennials (ages 19 to 28) that found 75 percent of respondents want a mentor.⁸ While studies show Millennials want to have a mentor, they may not be receptive to traditional informal mentoring methods in the workplace. A study of 1,000 college educated Millennials by Bentley University found that just 2 percent claimed a mentor provided the most encouragement at work for them.⁹ These statistics indicate organizations may be missing the mark of Millennial mentoring expectations.

Roselinde Torres, a fellow with the Boston Consulting Group, conducted a study of 4,000 companies regarding the effectiveness of their leadership programs. Fifty-eight percent of those companies reported having “significant talent gaps for critical leadership roles.”¹⁰ Torres claims present “narrow 360 reviews” and “outdated performance measures” were linked to “false positive” results for good leaders that can make organizations think they were ready when they were not.¹¹ An agency must look to the

⁵ Georgia T. Chao, “Formal Mentoring: Lessons Learned from Past Practice,” *Professional Psychology: Research and Practice* 40, no. 3 (2009): 314.

⁶ Hansman et al., “Critical Perspectives on Mentoring: Trends and Issues, Critical Perspectives on Mentoring: Trends and Issues,” *VOCEDplus*, 2002, 24, <http://www.voced.edu.au/content/ngv20265>.

⁷ CNN Library, “Baby Boomer Generation Fast Facts,” *CNN*, November 6, 2013, <http://www.cnn.com/2013/11/06/us/baby-boomer-generation-fast-facts/index.html>.

⁸ Alison Hillhouse, October 4, 2012 (11:35 a.m.), “Consumer Insights: MTV’s ‘No Collar Workers,’” *Blog.Viacom*, accessed March 26, 2014, <http://blog.viacom.com/2012/10/consumer-insights-mtvs-no-collar-workers/>.

⁹ Bentley University, “Millennials in the Workplace,” *Center for Women and Business*, accessed March 30, 2014, <http://www.bentley.edu/centers/center-for-women-and-business/millennials-workplace>.

¹⁰ Roselinde Torres, “What It Takes to Be a Great Leader,” *TED*, accessed March 26, 2014, http://www.ted.com/talks/roselinde_torres_what_it_takes_to_be_a_great_leader.html.

¹¹ *Ibid.*

future to anticipate changes—like the challenges and opportunities created by Millennials entering the workforce or limitations of current leadership development methods—and act upon them before they become problematic. The literature review reveals formal mentoring programs appear to offer a means to address these problem issues (and others), but they must be implemented properly by each individual agency to do so. Six essential steps to create a formal mentoring program were also identified in this review:

- Conduct an organizational needs assessment
- Planning—determine the guidelines, goals and objectives for the program
- Identify participants—both mentors and mentees
- Train participants
- Pair the participants
- Monitor, evaluate, and refine the program

Three case studies of formal mentoring programs in homeland security agencies are examined: the California Highway Patrol (CHP) Coaching and Mentoring Program, the Lansing Michigan Police Department (LPD) Mentor Program, and the Henrico County (Virginia) Division of Fire (Henrico Fire) Acting Officer Program. Each selected mentoring program is evaluated using the individual agency’s own evaluation criteria to measure results. A comparison of smart practices identified in the literature review is made for each case study.

The CHP mentoring program is mandatory—all personnel at all ranks but officer—and participant surveys are required by policy.¹² The case study of the CHP Coaching and Mentoring Program shows the agency followed the steps necessary to develop and implement a successful mentoring program identified in the literature review. The organization faced challenges in this process that were compounded by the sheer size of the agency and the vast geographic territory it is responsible to cover. However, the CHP overcame those challenges with planning and strategy that fit its

¹² California Highway Patrol, *Highway Patrol Manual 70.13* (California: California Highway Patrol, October 2011), 5–5.

organization. Over 130 surveys of CHP mentees were provided to the author by the agency and analyzed. While the survey responses of mentees were not all positive, the vast majority of program participants responded favorably regarding their experience.

The LPD mentoring program is voluntary, and it has been in existence for more than a decade.¹³ The LPD has competed for a national award for this program, and the United States (U.S.) Department of Justice has recognized it as a “best practice.”¹⁴ The LPD mentor program has had a positive impact on the retention rates of new employees and improved the diversity of the agency. The LPD case study shows the long-term impact one person can have on an organization when possessing a solid understanding of the problems and the determination to overcome obstacles to success. Even though this program began 17 years ago, lessons can still be learned from it.

The Henrico Fire Acting Officer Program is essentially a hybrid-mentoring program that systematically prepares members for leadership roles before assuming full responsibility for them. This program combines mentoring with knowledge testing, classroom instruction, practical exercises, and real world experiences in a progressive sequence. The Acting Officer Program virtually eliminates the risk of the agency promoting a member to an officer position who is not ready to handle the job, as candidates have already had to demonstrate their suitability for leadership in the program.

A policy analysis shows homeland security organizations have three primary choices when it comes to the implementation of a formal mentoring program: full implementation (for all employees), partial implementation (for some employees), and maintaining the status quo (no implementation). Leadership must consider the individual needs and limitations of the agency before deciding which option to choose, including consideration of the challenges and tradeoffs of each choice prior to implementation. A decision to implement a formal mentoring program requires a means to evaluate the program for success, and results can be measured by examining changes in the knowledge, perceptions, and/or behavior of the program participants.

¹³ Lansing Police Department, “Officer to Officer Mentor Program,” accessed January 16, 2014, http://www.lansingmi.gov/mentor_program.

¹⁴ Ibid.

The primary steps of creating a mentoring program are listed in order above, but the process is circular instead of linear, as the last step leads back to the first where changes can be made, and the cycle begins again. Based heavily on these steps, the smart practices (ideas behind practices to “take advantage” of opportunities present in a particular situation¹⁵) identified in this thesis are compiled in the final chapter. However, due to the independent organizational culture and needs of other agencies, it is up to the reader to decide if they apply to a particular organization. The list of smart practices provides a starting point for that assessment.

While certainly not a cure all, a formal mentoring program has the potential to address a variety of problems in a cost effective manner. Is the organization experiencing problem issues that formal mentoring can help address, such as high turnover, lack of diversity, skill and knowledge limitations, and a need for succession planning or leadership development? If so, and the agency understands the benefits and tradeoffs of formal mentoring programs, then it may be time that leadership considers implementation of a formal mentoring program.

¹⁵ Eugene Bardach, *A Practical Guide for Policy Analysis: The Eightfold Path to More Effective Problem Solving 4E* (Thousand Oaks, CA: SAGE, 2012), 110.

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I. INTRODUCTION

This thesis is an exploration of the use of formal mentoring programs in homeland security disciplines for leadership development and addressing problem issues. The distinction between formal and informal mentoring, the thesis research question, and the status quo of leadership development programs for homeland security organizations are examined in this first chapter. In addition, an overview of the thesis and a literature review regarding formal mentoring are discussed.

A. THE RESEARCH QUESTION

An inquiry starts with a question. The focus of this thesis is an attempt to answer the primary research question: Is the establishment of a formal mentoring program a smart practice for homeland security agencies to develop future leaders? In addition to addressing the primary research question, a secondary goal of this thesis is identifying smart practices for leadership development and addressing problem issues with formal mentoring programs that could help organizations find the right strategy and policy for their specific needs.

What is a smart practice? Dr. Eugene Bardach, of the University of California, Berkeley, differentiates between a “best practice” and a “smart practice,” and claims it is very difficult to know that any practice is really the very best to employ to address a particular problem or issue out of all the potential solutions. However, Bardach recognizes that ideas behind practices are available to “take advantage” of opportunities present in a particular situation that can be very clever, and he refers to those as “smart practices.”¹

B. MENTORING AND THE DISTINCTION BETWEEN FORMAL AND INFORMAL

Mentoring has been defined in numerous ways, but the basic concept involves personal interaction between an individual with a high level of knowledge and experience

¹ Eugene Bardach, *A Practical Guide for Policy Analysis: The Eightfold Path to More Effective Problem Solving 4E* (Thousand Oaks, CA: SAGE, 2012), 110.

(the mentor) who supports and assists a less experienced person (the protégé).² Mentoring is a perpetual cycle with the roles of mentors and mentees changing as they advance in the process, but mentoring is not a linear process.³ A person can be both a mentor and mentee at the same time depending on that individual's role in the organization, and can mentor—or be mentored—by more than one person at a time.⁴

Mentoring involves three primary functions: role-modeling, psychosocial support, such as listening and advising, and career development support, such as promotions and salary increases.⁵ Each of these functions provides mutual benefits for the mentor, protégé, and organization, such as increased productivity and organizational commitment, improved communication, higher job satisfaction, faster employee integration, and higher employee retention rates.⁶

The primary difference between informal and formal mentoring programs is how the interpersonal relationships between participants are formed. Informal mentoring relationships form on their own, usually between those who have a common interest or ideals.⁷ Formal mentoring relationships are typically established by the organization, but the pairing process varies substantially between programs from mandatory participation and no input from the participants, to voluntary participation and the participants can choose each other.⁸ Formal mentoring programs are relatively new, but are rapidly growing in popularity.⁹

² Belle Rose Ragins and John L. Cotton, "Mentor Functions and Outcomes: A Comparison of Men and Women in Formal and Informal Mentoring Relationships," *Journal of Applied Social Psychology* 84, no. 4 (1999): 529.

³ Clinton H. Smoke, *Company Officer* (Stamford, CT: Cengage Learning, 2009), 164.

⁴ Kathy E. Kram and Lynn A. Isabella, "The Role of Peer Relationships in Career Development," *The Academy of Management Journal* 28, no. 1 (March 1985): 121.

⁵ Belle Rose Ragins and Kathy E. Kram, *The Handbook of Mentoring at Work: Theory, Research, and Practice* (Thousand Oaks, CA: SAGE, 2007), 163.

⁶ Ibid.

⁷ Frank A. Colaprete, *Mentoring in the Criminal Justice Professions: Conveyance of the Craft* (Springfield, IL: Charles C Thomas Publisher, 2009), 118–120.

⁸ Ibid., 150.

⁹ Tammy D. Allen, Lisa M. Finkelstein, and Mark L. Poteet, *Designing Workplace Mentoring Programs: An Evidence-Based Approach* (New York: John Wiley & Sons, 2009), 1.

C. THE STATUS QUO—INFORMAL MENTORING

The manager accepts the status quo; the leader challenges it.

—Warren G. Bennis

Mentoring has traditionally been conducted informally.¹⁰ However, informal mentoring has a number of weaknesses from the organizational point of view. For example, organizations have little or no input in the content, quantity, and quality of informal mentoring relationships, and few mentoring programs have quantitative measurements to assess their effectiveness.¹¹ Informal mentoring programs require identification of mentoring participants first before any evaluation could be conducted. Another example is the underrepresentation of minority groups. Diversity has been problematic in law enforcement since the 1960s and resulted in Federal Consent Decrees in a number of cases.¹² Studies also show women and minorities can be left behind by informal mentoring programs,¹³ but also indicate an agency supported formal mentoring program can create more mentoring relationship opportunities for underrepresented leadership groups.¹⁴

Informal mentoring appears to be the status quo for homeland security agencies based on the degree of difficulty locating ones that have a formal mentoring program to use as case studies for this thesis. At least one other researcher has come to a similar conclusion for the profession of law enforcement.¹⁵ Baby Boomers are now retiring in large numbers and taking many decades worth of knowledge and experience with them.¹⁶

¹⁰ Georgia T. Chao, “Formal Mentoring: Lessons Learned from Past Practice,” *Professional Psychology: Research and Practice* 40, no. 3 (2009): 314.

¹¹ Linda Kyle Stromei, *Creating Mentoring and Coaching Programs: Twelve Case Studies from the Real World of Training* (Alexandria, VA: American Society for Training and Development, 2001), 176–182.

¹² Colaprete, *Mentoring in the Criminal Justice Professions*, 53.

¹³ Rogers et al., *Practical Teaching in Emergency Medicine* (New York: John Wiley & Sons, 2012), 37.

¹⁴ *Ibid.*

¹⁵ Colaprete, *Mentoring in the Criminal Justice Professions*, 5.

¹⁶ Jeremy M. Wilson et al., “Police Recruitment and Retention for the New Millennium,” *RAND Corporation*, 2010, 5, <http://www.rand.org/pubs/monographs/MG959.html>.

Some homeland security agencies, like the Virginia State Police, have an executive staff comprised almost entirely of Baby Boomers. Those executive level positions will likely be filled in the near future by members of the next one—Generation X¹⁷ (those born between 1961 and 1981).¹⁸ A longitudinal study of 4,000 Generation X members surveyed every year between 1987 and 2010 indicates this generation is highly social, well educated, and two thirds were satisfied with their jobs.¹⁹

The latest generation to enter the workforce, Millennials or Generation Y, is known for having advanced technological skills, a sense of entitlement, altruistic ideals, and a commitment to personal and family time, but studies show this newer generation has not blended well with the traditional policing organization.²⁰ A partial explanation for this failure to mesh may be overuse of the traditional classroom lecture format typically found in police training programs that is not as effective for teaching Millennials.²¹ A second factor may be the heavy reliance on technology and social media this generation has, which has helped to contribute to the “I want it all” and “I want it now” (especially at work) mentality,²² and weakened social skills compared to other generations.²³

While the lecture format is a necessity for education, one way to better facilitate learning and improve collaboration is group interactivity, which is attributed to the fact that Millennials are team-oriented.²⁴ Meister and Willyerd also subscribe to the potential

¹⁷ Laura Brown, “Get Read for Generation X to Take the Reins,” *U.S. News & World Report*, March 12, 2014, <http://www.usnews.com/opinion/blogs/lara-brown/2014/03/12/generation-xs-leaders-will-take-power-before-the-millennials>.

¹⁸ Jon D. Miller, “Active, Balanced and Happy: These Young Americans Are Not Bowling Alone,” *The Generation X Report* 1, no. 1 (Fall 2011): 1, http://lsay.org/GenX_Rept_Iss1.pdf.

¹⁹ Miller, “Active, Balanced and Happy: These Young Americans Are Not Bowling Alone.”

²⁰ National Institute of Justice (Nij), Anthony Batts, and Sean Smoot, *Police Leadership Challenges in a Changing World* (Charleston, SC: BiblioBazaar, 2012), 3.

²¹ Eric P. Werth and Loredana Werth, “Effective Training for Millennial Students,” *Adult Learning* 22, no. 3 (June 2011): 17, doi:10.1177/104515951102200302.

²² Thorsten Gruber, “Understanding Generation Y and Their Use of Social Media: A Review and Research Agenda,” *Academia*, 9, accessed July 14, 2014, http://www.academia.edu/5521214/Understanding_Generation_Y_and_Their_Use_of_Social_Media_A_Review_and_Research_Agenda.

²³ Ash Beyhan Acar, “Do Intrinsic and Extrinsic Motivation Factors Differ for Generation X and Generation Y?,” *International Journal of Business and Social Science* 5, no. 5 (April 2014): 15.

²⁴ Werth and Werth, “Effective Training for Millennial Students,” 14.

for success a collaborative work environment for Millennials can bring in their book *The 2020 Workplace*.²⁵ Outside of the classroom, formal mentoring programs may be beneficial for organizations to continue the effective education of Millennials since mentoring requires a team effort and potentially improves social skills at the same time.

The initial hypothesis of this thesis is, for contemporary homeland security agencies, solely relying on informal mentoring programs is unlikely to be effective for leadership development. Generational differences of employees, the lack of organizational input into the mentoring process, and unequal access by employees hamper the potential effectiveness of informal mentoring. The following sections are a description of the process taken to test that hypothesis.

D. THESIS OVERVIEW

The sample of this thesis involves the study of three existing formal mentoring programs in homeland security agencies. The Department of Homeland Security (DHS) is comprised of 22 agencies, but is only the proverbial “tip of the iceberg” when it comes to homeland security agencies.²⁶ Homeland security includes the disciplines of fire, police, public health, emergency medical services, emergency dispatch, intelligence, emergency management, government administration, and the military, but also encompasses some of the private sector, such as transportation and critical infrastructure like the electric power grid.²⁷ For the purposes of this thesis, the phrase “homeland security agency” is intended to include government organizations involved in homeland security. However, the application of the thesis outcomes may not be confined to this definition.

Three case studies were identified through a literature review of formal mentoring programs with a concentration on those in homeland security disciplines. Data sources

²⁵ Jeanne C. Meister and Karie Willyerd, *The 2020 Workplace: How Innovative Companies Attract, Develop, and Keep Tomorrow's Employees Today*, 1st ed. (New York: HarperBusiness, 2010).

²⁶ Department of Homeland Security, “Organization,” accessed July 14, 2014, <http://www.dhs.gov/organization>.

²⁷ Jason Nairn, “What Are the Disciplines of Homeland Security?” *Homeland Security Roundtable*, accessed July 10, 2014, <http://homelandsecurityroundtable.com/2012/07/02/what-disciplines-associated-homeland-security/>.

include literature on formal mentoring programs from multiple homeland security disciplines, and information from existing agency mentoring programs, including their written policies on mentoring. However, literature resources outside of homeland security were not excluded from the process.

The methods of analysis are twofold: a case study of three formal mentoring programs and policy options analysis. The case studies provide a direct comparison for other similar (in size, structure, and/or responsibilities) homeland security organizations considering the adoption of a formal mentoring program. The three programs chosen were the California Highway Patrol (CHP) Coaching and Mentoring Program, the Lansing Michigan Police Department (LPD) Mentor Program, and the Henrico County (Virginia) Division of Fire Acting Officer Program. Each of these programs was selected for academic review due to homeland security related responsibilities of the organization, multiple years of service, and the willingness to provide evaluation data to the researcher.

The CHP program is the only fully implemented—all personnel at all ranks, but officer—mentoring program I have been able to identify for a homeland security agency, and participant surveys are mandatory.²⁸ CHP also graciously provided extremely detailed (sometimes handwritten) interagency notes about their lengthy program design and implementation process.

Unlike the CHP program, the Lansing mentoring program is voluntary, and it has been in existence for more than a decade.²⁹ The LPD has competed for a national award for this program, and the U.S. Department of Justice has recognized it as a “best practice.”³⁰

The Henrico Fire Acting Officer Program is essentially a hybrid formal mentoring program in practice that is creative and unique to the mentoring schemes reviewed for potential case studies. Henrico has a detailed five-step process that program candidates

²⁸ California Highway Patrol, *Highway Patrol Manual 70.13* (California: California Highway Patrol, October 2011), 5–5.

²⁹ Lansing Police Department, “Officer to Officer Mentor Program,” accessed January 16, 2014, http://www.lansingmi.gov/mentor_program.

³⁰ *Ibid.*

follow in order with each step building on the last, and supervisors are primary as mentors.³¹

Each selected mentoring program is evaluated using the individual agency's own evaluation criteria to measure results. Due to academic restrictions on human subject research beyond the student's control, independent surveys were not conducted. A comparison of smart practices identified in the literature review is also made for each case study in an attempt to answer the primary research question.

The literature review revealed no "one size fits all" method exists for an agency to implement a formal mentoring program; instead, each organization should use a program structure that fits into its own organizational culture to be successful.³² Since the literature review revealed some smart practices of formal mentoring programs in case studies with replicated results outside of the homeland security realm, it appears to be possible to synthesize and apply those practices to construct formal mentoring policy options for homeland security organizations. Measurement of the formal mentoring programs' impact on knowledge, behavior, and perception of protégés are used to gauge the effectiveness of policy options from case study program data. These criteria are discussed in depth in Chapter V. However, elements of all three criteria may not be available for each case study.

The thesis outcome is a compilation of smart practices on which to base a formal mentoring policy from three case studies and reviewed literature. As the target audience of this thesis, homeland security leaders should be better educated about the practice of formal mentoring, understand the limitations of the status quo of informal mentoring, and have a framework of good formal mentoring practices (policies) to choose from when selecting those that are the best fit for their agency.

Chapter II is an in-depth review of the problem with a discussion of the history of mentoring, the problems with relying on informal mentoring to develop future leaders in

³¹ Henrico County Division of Fire, *Acting Officer Precepting Manual*, DOF 305 (Virginia: Henrico County Division of Fire, 2010).

³² Allen, Finkelstein, and Poteet, *Designing Workplace Mentoring Programs*, xii.

homeland security organizations, and a brief look at identified case studies related to problem issues with the status quo. Chapters III, IV, and V are individual case studies of three existing formal mentoring programs in organizations with homeland security responsibilities: the California Highway Patrol, the Lansing Michigan Police Department, and the Henrico County Division of Fire. These case studies will describe the structure, history, agency policy, practical application, evaluation, and lessons learned from each program. Chapter VI is a policy analysis and discusses the findings of a combination of the literature reviewed and the cases studied for this thesis. Policy alternatives, criteria to measure success, and challenges of formal mentoring programs are also discussed in this chapter. The final chapter contains the author's conclusions and recommendations.

E. LITERATURE REVIEW

The process to answer the question "Is the establishment of a formal mentoring program a smart practice for homeland security agencies to develop future leaders?" begins with a literature review of formal mentoring programs with a concentration on those programs in homeland security related disciplines as previously defined. The history of mentoring is discussed at the beginning of the next chapter.

Information on mentoring is abundant and longstanding. However, sources for formal mentoring programs are less abundant and typically more recent; the vast majority of sources available were written in the last few decades.³³ For example, a search of "mentoring" on Google Books produced 185,000 results, while a search for "formal mentoring programs" had 16,200 results.³⁴ Source availability for formal mentoring programs depends on the discipline reviewed but is abundant in the fields of education and business.³⁵ Relevant sources are primarily scholarly books and journal articles, but also include organizational policies and theses. This review includes formal mentoring

³³ Catherine A. Hansman et al., "Critical Perspectives on Mentoring: Trends and Issues, Critical Perspectives on Mentoring: Trends and Issues," *VOCEDplus*, 2002, 10, <http://www.voced.edu.au/content/ngv20265>.

³⁴ Google Books, on-line search of "mentoring" and "formal mentoring programs," July 12, 2014, <http://books.google.com/>.

³⁵ Hansman et al., "Critical Perspectives on Mentoring: Trends and Issues, Critical Perspectives on Mentoring: Trends and Issues," 24, 29.

program sources from multiple disciplines to include business, education, emergency medicine, criminal justice, military, fire service, intelligence, and faith-based organizations. Resources for disciplines with homeland security responsibilities were much more limited and recent in comparison to those available for business and education, but were available with identified gaps to be discussed later in this review.

Resources for formal mentoring programs are primarily divided into three types or groups.

- How to guides for development of formal mentoring programs
- Case studies of formal mentoring programs
- Works that specifically focus on the program participants, usually to identify desired characteristics and traits of both mentors and mentees

Throughout these resources, three different points of view are apparent: the organizational view, the mentor view, and the mentee view. Titles, such as *Creating a Mentoring Culture: The Organization's Guide*, *Being an Effective Mentor*, and *So You Want to be Mentored* are examples from each of the three viewpoints. Each has a unique perspective of the process and a different set of program expectations and needs, and each is discussed in this review.

Before examining the how to guides, case studies, and participants in formal mentoring programs, it is important to understand why an organization would even consider one in the first place. The literature reveals formal mentoring programs are considered by organizations for two primary reasons, striving toward organizational goals and addressing developmental needs of employees.³⁶ The diagram below demonstrates examples of each category of objectives, but is not all inclusive.

³⁶ Christina A. Douglas, *Formal Mentoring Programs in Organizations: An Annotated Bibliography* (Greensboro, NC: Center for Creative Leadership, 1997), 79.

Organizational Goals	Employee Developmental Needs
Recruitment ³⁷	Flatten the Learning Curve for New Employees ⁴²
Retention of Employees ³⁸	Improve Skill Level and Performance ⁴³
Succession Planning ³⁹	Improve Confidence ⁴⁴
Improving Diversity ⁴⁰	Promote Collaboration/Teamwork ⁴⁵
Manage Change ⁴¹	Career Development ⁴⁶

Table 1. Examples of each of the two types of objectives organizations have for implementing a formal mentoring program

The literature on formal mentoring programs tends to be one sided with a primary focus on benefits.⁴⁷ However, drawbacks can occur to formal mentoring that are discussed in the case study portion of this literature review and in Chapter VI.

1. How to Guides

Designing Workplace Mentoring Programs, Creating a Mentoring Culture, Mentoring the Future, Mentoring in the Criminal Justice Professions, The Complete Guide to Mentoring, and Best Practices: Mentoring, all describe how to develop a formal mentoring program from the ground up with an organizational point of view. These sources differ greatly on the exact steps and order of the process. While certainly not

³⁷ Jack McKeever and April Kranda, "Recruitment & Retention of Qualified Police Personnel: A Best Practices Guide," *International Association of Chiefs of Police: Big Ideas for Smaller Police Departments* 1, no. 2 (Summer 2000): 12.

³⁸ Ibid.

³⁹ T. Zane Reeves, "Mentoring Programs in Succession Planning," *State and Local Government Review* 42, no. 1 (April 2010): 62, doi: 10.1177/0160323X10368036.

⁴⁰ Jeffrey H. Greenhaus, Gerard A. Callanan, and Veronica M. Godshalk, *Career Management* (Thousand Oaks, CA: SAGE, 2009), 213.

⁴¹ Douglas, *Formal Mentoring Programs in Organizations*, 81.

⁴² United States Office of Personnel Management, *Best Practices: Mentoring* (Washington, DC: United States Office of Personnel Management, 2008), 3.

⁴³ Smoke, *Company Officer*, 165.

⁴⁴ Lisa C. Ehrich and Brian Hansford, "Mentoring: Pros and Cons for HRM," *Asia Pacific Journal of Human Resources* 37, no. 3 (1999): 97.

⁴⁵ Hilarie Owen, *The Complete Guide to Mentoring: How to Design, Implement and Evaluate Effective Mentoring Programmes* (London, UK and Philadelphia, PA: Kogan Page Publishers, 2011), 3.

⁴⁶ United States Office of Personnel Management, *Best Practices*, 3.

⁴⁷ Douglas, *Formal Mentoring Programs in Organizations*, 85.

universal, the collective synthesis of recommended steps to this process according to the literature reviewed is as follows.

- Conduct an organizational needs assessment
- Determine the guidelines, goals and objectives for the program
- Identify participants, both mentors and mentees
- Train participants
- Pair the participants
- Monitor, evaluate, and refine the program

Outside of these steps, the strategies to accomplish these tasks are vastly different within the literature and cannot be synthesized into a general overview. Examples of these variances include one-on-one mentoring, group mentoring, team mentoring, supervisory mentoring, reverse or upward mentoring (less experienced employees mentoring senior employees, usually in areas of technology and current trends), and combinations of these recommendations.⁴⁸ One source, *Designing Workplace Mentoring Programs: An Evidence Based Approach*, by Allen, Finkelstein, and Poteet, recognizes the differences in recommendations of how to guides as a positive circumstance. The authors of this book claim no one rigid structure exists for creating formal mentorship programs due to inherent differences in each individual entity. Instead, this work asserts each organization should use a program structure that fits into its own organizational culture to be successful.⁴⁹

How to guides for formal mentoring programs are further divided into two types, those for new and newly promoted employees and those for developing future leaders as a part of succession planning or a minority advancement strategy. An example of this distinction is seen with literature from the fire service. *Company Officer* discusses how to mentor new recruits⁵⁰ while *Fire Service Instructor* teaches how to mentor others for

⁴⁸ United States Office of Personnel Management, *Best Practices*, 15–16.

⁴⁹ Allen, Finkelstein, and Poteet, *Designing Workplace Mentoring Programs*, 8.

⁵⁰ Smoke, *Company Officer*, 164–165.

succession planning.⁵¹ Within the literature, these two categories of programs have distinct differences in their recommended duration and approaches. Programs for new and newly promoted employees are often discussed in terms of short and/or fixed periods of time and are more focused on specific tasks, such as the International Association of Chiefs of Police’s “Big Ideas for smaller police departments,” and the best practices guide titled “Recruitment and Retention of Qualified Police Personnel” that recommends formal mentoring for new police officers.⁵² In contrast, those for identified future leaders are usually long-term endeavors that typically concentrate on strategic principles and concepts, such as the article “How to Mentor a Police Chief” published in *Law and Order* magazine in 2007.⁵³ Although these two types of formal mentoring programs share a similar physical structure, the literature indicates each requires a different approach by the organization in regards to accomplishing established goals and objectives, training, and selection criteria for participants.

2. Case Studies

Case studies in the reviewed literature provide insight into smart practices of established formal mentoring programs. Lessons from some of these studies are incorporated in the how to guides previously discussed, but case study sources are sometimes a compilation of multiple studies with lessons learned from each one identified like *Creating Mentoring and Coaching Programs: Twelve Case Studies from the Real World of Training*. Only rarely do these case study resources cross discipline lines, but the observations and smart practice recommendations made in them are frequently similar, even if the disciplines or countries they were conducted in are not. For instance, a 2008 study of a U.S. software firm-mentoring program showed formal mentoring “is critical to sharing knowledge between employees and fostering knowledge

⁵¹ Iafc, *Fire Service Instructor* (Sudbury, MA: Jones & Bartlett Publishers, 2013), 388–390.

⁵² McKeever and Kranda, “Recruitment & Retention of Qualified Police Personnel: A Best Practices Guide,” 12–13.

⁵³ Albert Varga, “How to Mentor a Chief of Police,” *Law & Order* 55, no. 9 (September 2007): 129–33.

creation and sharing in the organization.”⁵⁴ A 2012 study conducted on health care workers involved in a formal mentoring program in the United Kingdom had a substantially similar result, which found positive outcomes for learning and personal development for both the mentor and protégé.⁵⁵

Benefits of formal mentoring programs are cited in every case study work reviewed and are usually divided into three sub-groups: organizational benefits, mentor benefits, and mentee benefits.⁵⁶ Organizational benefits routinely include improved productivity and capabilities, succession planning, higher retention rates for employees, and greater collaboration as previously cited in Table 1. Mentor benefits repeatedly found in case studies are revitalization of the mentor with a sense of purpose and/or accomplishment and renewed vigor.⁵⁷ Mentee benefits show more variance in the sources reviewed, but are routinely broken down into two broad categories of career benefits and psychological benefits.⁵⁸ Specific advantages cited for the mentee often include faster advancement in the organization, improved capabilities and productivity, better decision making, and improved confidence.⁵⁹

Some of the sources reviewed also discussed informal mentoring programs, and the benefits cited above are nearly identical for both formal and informal programs, although the degree of benefits varies between program types with informal relationships usually having more positive impact.⁶⁰ However, the literature identifies several benefits that are specific to formal mentoring programs including increased opportunities for women and minorities,⁶¹ more frequent mentoring interactions between participants, the

⁵⁴ Scott E. Bryant and James R. Terborg, “Impact of Peer Mentor Training on Creating and Sharing Organizational Knowledge,” *Journal of Managerial Issues* XX, no. 1 (2008): 25.

⁵⁵ Jenni Jones, “An Analysis of Learning Outcomes within Formal Mentoring Relationships,” *International Journal of Evidence Based Coaching and Mentoring* 10, no. 1 (February 2012): 67.

⁵⁶ Chao, “Formal Mentoring,” 314.

⁵⁷ Ragins and Kram, *The Handbook of Mentoring at Work*, 163.

⁵⁸ Kram and Isabella, “The Role of Peer Relationships in Career Development.”

⁵⁹ Ehrich and Hansford, “Mentoring: Pros and Cons for HRM,” 97.

⁶⁰ Ragins and Cotton, “Mentor Functions and Outcomes: A Comparison of Men and Women in Formal and Informal Mentoring Relationships,” 544.

⁶¹ Rogers et al., *Practical Teaching in Emergency Medicine*, 37.

ability to measure results, and the creation of more mentoring relationships within an agency.⁶²

Some measures of effectiveness of formal mentoring programs in case study literature are surveys of the participants and their management, and few provide quantitative measures of effectiveness.⁶³ Garvey, Stokes, and Megginson recognize the limitations survey data has and call for improvement in the measures used to evaluate formal mentoring programs.⁶⁴ In addition, the majority of case studies on formal mentoring programs have focused only on positive aspects of relationships between junior and senior managers.⁶⁵ It is much more difficult to identify negative aspects of formal mentoring programs, but a few researchers have done so.

One study concludes that formal mentoring programs are no substitute for informal mentoring relationships and should be used in addition to informal mentoring.⁶⁶ The formal mentoring process can also be ineffective if not adequately supported by the organization (time, resources, etc.) and implemented for the right reasons (such as those in Table 1).⁶⁷ Another study found facilitating inter-personal relationships could go wrong if expectations of both mentors and protégés are not managed at the beginning of the relationship.⁶⁸ Challenges of formal mentoring program case studies in the sources reviewed were regularly related to the process of intentionally structuring interpersonal relationships between participants, the very essence of a formal program. Smart practices identified in multiple case study sources for this issue were participant involvement in the selection of their mentors and mentees, regular monitoring of relationships by an independent party, and a “no-fault” system in place to change pairings during the

⁶² Stromei, *Creating Mentoring and Coaching Programs*.

⁶³ Bob Garvey, Paul Stokes, and David Megginson, *Coaching and Mentoring: Theory and Practice* (Thousand Oaks, CA: SAGE, 2008), 35–40.

⁶⁴ Ibid.

⁶⁵ Douglas, *Formal Mentoring Programs in Organizations*, 85.

⁶⁶ Ragins and Cotton, “Mentor Functions and Outcomes: A Comparison of Men and Women in Formal and Informal Mentoring Relationships,” 546.

⁶⁷ Ehrlich and Hansford, “Mentoring: Pros and Cons for HRM,” 102–103.

⁶⁸ Young and Perrewe, “The Role of Expectations in the Mentoring Exchange: An Analysis of Mentor and Protege Expectations in Relation to Perceived Support,” 120.

program if problem issues arise within the relationship.⁶⁹ However, it appears that many of the problem issues associated with formal mentoring programs can be mitigated in the planning and implementation stages.⁷⁰

Smart practices identified in the literature occasionally conflict. For example, Stromei explains a case study in *Creating Mentoring and Coaching Programs* that cited close working relationships as important to the success of a formal mentoring program,⁷¹ while Rogers et al. cited program benefits related to the use of communications technologies (such as email or social media) for long distance mentoring in *Practical Teaching in Emergency Medicine*.⁷² It is possible each of these practices has some benefit over no mentoring connection, but a close working relationship may be more difficult to obtain from afar. As noted above, no “apples to apples” measurement is available to determine which of these two approaches is best.

3. Participant Characteristics

Literature on formal mentoring program participant characteristics comes in all three identified points of view (the organization, the mentor, and the protégés). Preferred characteristics of both mentors and mentees are generally similar in the literature reviewed and an overview can be synthesized. This synthesis is not all inclusive of desired traits, but it is comprised of information corroborated on some level by almost every source examined in this review.

Sought mentor characteristics cited generally include experienced—knowledgeable and competent, open-minded, possess good inter-personal skills (patience, tact, empathy, etc.), possess good communications skills—to include being a good listener, a role model for leadership (integrity, trustworthy, strong work ethic, critical thinker, etc.), and a willing program participant with high expectations.⁷³ Desired

⁶⁹ Allen, Finkelstein, and Poteet, *Designing Workplace Mentoring Programs*, 37–58, 88.

⁷⁰ Ehrich and Hansford, “Mentoring: Pros and Cons for HRM,” 104.

⁷¹ *Ibid.*, 176.

⁷² Rogers et al., *Practical Teaching in Emergency Medicine*, 37.

⁷³ Colaprete, *Mentoring in the Criminal Justice Professions*, 65–66.

mentee characteristics identified are a positive attitude, commitment (to the organization and the mentor program), open minded, and flexible.⁷⁴

Resources reviewed in this sub-category agreed consideration of participant characteristics in the selection and pairing process is a key factor for success of formal mentoring programs.⁷⁵ A 2004 study by Young and Perrewe concluded that managing expectations between participants is also important for program success and the perception of organizational support.⁷⁶ Nearly all challenges and negative impacts addressed in the literature for formal programs involved the potential for, or actuality of, ineffective interpersonal relationships between mentors and mentees.

4. Definitions

Many resources define mentors by describing their behaviors and functions, which include role model, teacher, guide, motivator, coach, communicator, counselor, supporter, advisor, protector, nurturer, talent developer, sponsor, and confidant.⁷⁷ These same terms are used to describe the process of mentoring, but both words have wide variations of their meaning in the literature. Some examples of mentoring definitions from homeland security related resources include:

Mentoring is an intentional process of interaction between two individuals, which includes nurturing to promote the growth of the mentee.⁷⁸

The mentoring process can be summarized with the words lead, follow, and get out of the way. Lead, as used here, is showing the way by being a teacher and role model. Follow involves watching, advising, and counseling the student or new member. And by get out of the way, we mean letting go, delineating, or withdrawing. The process is not linear.⁷⁹

⁷⁴ Allen, Finkelstein, and Poteet, *Designing Workplace Mentoring Programs*, 27.

⁷⁵ Jones, "An Analysis of Learning Outcomes within Formal Mentoring Relationships," 68.

⁷⁶ Young and Perrewe, "The Role of Expectations in the Mentoring Exchange: An Analysis of Mentor and Protege Expectations in Relation to Perceived Support," 120.

⁷⁷ Colaprete, *Mentoring in the Criminal Justice Professions*, 8–9.

⁷⁸ Rogers et al., *Practical Teaching in Emergency Medicine*, 36.

⁷⁹ Smoke, *Company Officer*.

Mentoring is a mutually beneficial relationship in which a knowledgeable veteran employee provides insight, guidance, and development opportunities to a less experienced colleague.⁸⁰

Many sources define the mentor as outside the chain of command of the protégé,⁸¹ but some include supervision as mentors.⁸² While peer-to-peer is the most common type of mentor-to-protégé relationship discussed, sources also describe mentoring relationships between individuals several supervisory ranks apart.⁸³ Such variation within the sources makes synthesizing a common definition for mentor and mentoring very difficult outside the descriptions of a mentor and mentoring behaviors, which are consistent in the literature reviewed.

Mentees are interchangeably referred to as protégés, students, apprentices, and studies, all of which lack the same level of experience and skill held by their mentors. All sources reviewed agree that mentees are the primary focus of formal mentoring programs, but, as outlined above, they are not the only ones to benefit from them. This thesis often refers to mentees as protégés and program candidates.

5. Identified Knowledge Gaps

As previously noted, how to guides for formal mentoring programs vary widely on their recommendations. Allen, Finkelstein, and Poteet may be correct in their assessment that this variation is healthy for individual agencies because they can pick and choose which ones suit their organizational culture best. However, these authors also claim formal mentoring programs can do more harm than good if not properly implemented.⁸⁴ What appears to be missing from the literature reviewed is a compilation

⁸⁰ California Highway Patrol, *Coaching/Mentoring Program*, Policy HPM 70.13 (California: California Highway Patrol, October 2011), 5–5.

⁸¹ Workplace Gender and Equality Agency, “Training and Development: Establish and Maintain Effective Mentoring Programs,” *Australian Government*, January 1, 2013, 11, https://www.wgea.gov.au/sites/default/files/GEI1.3.1_mentoring_programs.pdf.

⁸² Dana L. Haggard and Daniel B. Turban, “The Mentoring Relationship as a Context for Psychological Contract Development,” *Journal of Applied Social Psychology* 42, no. 8 (August 1, 2012): 1911, doi: 10.1111/j.1559-1816.2012.00924.x.

⁸³ McKeever and Kranda, “Recruitment & Retention of Qualified Police Personnel: A Best Practices Guide,” 13.

⁸⁴ *Ibid.*

of existing smart practices regarding formal mentoring programs for homeland security agencies, how some homeland security agencies have accomplished the steps of planning and implementing a formal mentoring program. This thesis attempts to close that gap.

F. ANALYSIS

While not completely unexplored, sources regarding formal mentoring programs for future leaders and succession planning in homeland security related fields are minimal when compared to those for business and education, with one exception, the emergency medical field. Emergency management mentoring resources primarily come from the U.S. government, such as *Best Practices: Mentoring*, and apply across homeland security disciplines. Only one report related to mentoring was located for the intelligence community from the National Research Council titled, *Intelligence Analysis: Behavioral and Social Scientific Foundations*. A number of theses related to formal mentoring programs for individual agencies written by students attending the National Fire Academy are available online⁸⁵ in addition to training textbooks, such as *Fire Service Instructor* and *Company Officer*. Law enforcement resources are more plentiful, such as *Effective Police Supervision*, *Mentoring in the Criminal Justice Professions*, *Police Leadership and Management*, *Police Leadership Challenges in a Changing World*, and *Every Officer is a Leader*, and are just some of the mentoring related resources from this discipline referenced in this review.

Information is also lacking on the formal mentorship programs in existence within homeland security agencies. Formal coaching and mentoring programs, such as the one implemented by the CHP appear to be an emergent practice for homeland security organizations. An emergent practice is defined as an attempt to address a complex problem in which not all the variables are known.⁸⁶ A case study of formal mentoring

⁸⁵ U.S. Fire Administration Library, "U.S. Fire Administration Library," accessed July 12, 2014, <http://www.google.com/url?sa=t&rct=j&q=&esrc=s&source=web&cd=1&cad=rja&uact=8&ved=0CB0QFjAA&url=http%3A%2F%2Fwww.usfa.fema.gov%2Flibrary%2F&ei=JuPCU5LoIeWtigL96YD4Ag&usg=AFQjCNHU7HjzH0YA1uoTmaXoqMET-EuFQg&bvm=bv.70810081,d.cGE>.

⁸⁶ Cynthia F. Kurtz, and Dave J. Snowden, "The New Dynamics of Strategy: Sense-making in a Complex and Complicated World," *IBM Systems Journal* 42, no. 3 (2003): 469.

programs in agencies that have homeland security related responsibilities to identify potential smart practices could be beneficial to other homeland security agencies.

The literature review revealed some smart practices for formal mentoring programs, such as the synthesized steps for planning, developing, and implementing a formal mentoring program were routinely repeated in how to guides and case studies across multiple disciplines, such as business, education, and health care. Therefore, although the literature reviewed was not all directly related to homeland security disciplines, application to homeland security might be beneficial.

G. CONCLUSION

Attempting to answer the research question (“Is the establishment of a formal mentoring program a smart practice for homeland security agencies to develop future leaders?”) should serve to benefit all homeland security disciplines, either to help facilitate a more effective leadership development process within each individual organization, or to avoid less effective measures if the initial hypothesis is incorrect.

Understanding what mentoring is and how formal and informal mentoring are different are important to answering the research question. This chapter has explained those terms and the current status quo of relying on informal mentoring for leadership development. It has also provided an overview of the remainder of this thesis and the methods used to test the hypothesis. The literature review offers a more in-depth perspective on formal mentoring from three points of view. The next chapter focuses on the history of mentoring, a detailed review of the problems with the status quo, and a brief examination of existing case studies related to the problem.

Should the process of mentoring in homeland security agencies be formalized? Even if the answer to this question turns out to be an absolute yes, it would not mean eliminating informal mentoring connections in homeland security disciplines. Those informal relationships have benefits in and of themselves,⁸⁷ but formal mentoring

⁸⁷ Allen, Finkelstein, and Poteet, *Designing Workplace Mentoring Programs*, 2.

programs could supplement these benefits with their own.⁸⁸ Formal mentoring programs could be one way homeland security organizations can intentionally attempt to bridge problems with the status quo, but it is necessary to look more in-depth at what those problems are to know for certain. Chapter II discusses these issues in detail.

⁸⁸ Stromei, *Creating Mentoring and Coaching Programs*, 176–182.

II. THE PROBLEM

Homeland security agencies are facing a major transition in their personnel as generations of workers cycle through. Are these agencies prepared for the loss of knowledge, experience, and leadership? If not, does formal mentoring have the potential to close the gaps? This chapter seeks to answer these questions. First, however, a brief history of mentoring is discussed.

A. HISTORY OF MENTORING

Mentoring is linked to mythology in Homer's *Odyssey* in which the fictional character Mentor cared for, taught, and nurtured Telemachus, the son of a king.⁸⁹ The term "mentor" began to appear in books directed toward helping young people in the 18th and 19th centuries.⁹⁰ Mentoring has been used to develop leaders, hand down traditions, and support others for thousands of years.⁹¹ For example, the feudal system of the Renaissance relied on mentoring for young men to earn acceptance to guilds through apprenticeships.⁹² History is full of highly successful men who had influential mentors, such as Alexander the Great, who was mentored by Aristotle, Thurgood Marshall who was mentored by a civil rights attorney named Charles Hamilton, Gertrude Stein who mentored Earnest Hemingway, and a highly successful salesman named John Patterson who mentored IBM founder Thomas Watson.⁹³

The Jewel Tea Company implemented one of the first documented formal mentoring programs in 1931.⁹⁴ The past 30 years have seen major changes to the study, application, and advancement of mentoring.⁹⁵ Affirmative action in the late 1970s and

⁸⁹ Hansman et al., "Critical Perspectives on Mentoring," 12.

⁹⁰ *Ibid.*, 21.

⁹¹ Dennis J. Moberg and Manuel Velasquez, "The Ethics of Mentoring," *Business Ethics Quarterly* 14, no. 1 (January 2004): 95.

⁹² *Ibid.*

⁹³ *Ibid.*

⁹⁴ Douglas, *Formal Mentoring Programs in Organizations*, 75.

⁹⁵ Colaprete, *Mentoring in the Criminal Justice Professions*, 7.

1980s was a primary factor in the rise of formal mentoring programs.⁹⁶ Education was one of the first fields to adopt formal mentoring practices widely. For instance, 47 states had implemented formal mentoring programs for new teachers in kindergarten through the 12th grade by the early 1990s.⁹⁷ Today, formal mentoring programs are employed at most colleges and universities for faculty and student development.⁹⁸ Scholars took notice of this trend, as over 500 articles about mentoring appeared in academic and popular journals in the 1990s.⁹⁹ Formal mentoring became popular in business next, and by the late 1990s, one third of major U.S. corporations had adopted the practice.¹⁰⁰

Historically, the practice of mentoring has traditionally been conducted informally.¹⁰¹ However, that trend may be changing, as organizations learn the potential benefits of mentoring, and how to influence mentoring practices toward organizational goals and objectives. The growth of formal mentoring programs comes at a time when governments are facing major transitions in their workforces and increases in the scope and complexity of problem issues associated with the status quo.

B. PROBLEMS IDENTIFIED WITH THE STATUS QUO

The Center for State and Local Government Excellence 2013 survey of local and state government workforces found 74 percent of respondents reported staff development to be their most important workforce issue due to the fast pace of retirements, followed by employee moral (70 percent) and excessive workload (68 percent).¹⁰² Succession planning was seventh with more than half of respondents categorizing it as “important.”¹⁰³ As Baby Boomers—those born between 1946 and 1964 and the largest

⁹⁶ Hansman et al., “Critical Perspectives on Mentoring,” 24.

⁹⁷ Susan Brown, “Working Models: Why Mentoring Programs May Be the Key to Teacher Retention,” *Techniques: Connecting Education and Careers* 78, no. 5 (May 2003): 18.

⁹⁸ Chao, “Formal Mentoring,” 314.

⁹⁹ Hansman et al., “Critical Perspectives on Mentoring,” 10.

¹⁰⁰ *Ibid.*, 24.

¹⁰¹ Chao, “Formal Mentoring,” 314.

¹⁰² SLGE, “State and Local Government Workforce: 2013 Trends,” accessed March 26, 2014, <http://slge.org/publications/state-and-local-government-workforce-2013-trends>.

¹⁰³ *Ibid.*

generation in U.S. history¹⁰⁴—retire, government organizations have concerns about the ability of other agency members to step effectively into the high number of vacant leadership positions. Applications for retirement from the federal workforce in 2013 increased 7.6 percent from 2012, and went from 84,427 such applications in 2010 to 114,697 in 2013.¹⁰⁵ As one generation begins to exit the workforce, another is coming in—Millennials.

In November 2011, MTV conducted an on-line survey of 500 U.S. Millennials (ages 19 to 28) called “No Collar Workers” that found 75 percent of respondents want a mentor.¹⁰⁶ A key finding of the MTV survey was that “Millennials foster social environments in the workplace, integrating their work lives and personal lives in an even greater way than Boomers have.”¹⁰⁷

The “No Collar Workers” survey also provides some insight into the work expectations of the 40 million plus Millennials in the United States.

- 89 percent of Millennials want their workplace to be social and fun
- 80 percent want regular feedback from their supervisor
- 66 percent think they should be mentoring older coworkers about technology¹⁰⁸

A 2012 survey of 1,000 Generation Y members by Millennial Branding, a Generation Y research and consulting firm, found 53 percent of Millennials indicated a mentor would help them become a better and more productive member of their organization.¹⁰⁹ Although the evidence indicates Millennials want to have a mentor, they

¹⁰⁴ CNN Library, “Baby Boomer Generation Fast Facts,” *CNN*, November 6, 2013, <http://www.cnn.com/2013/11/06/us/baby-boomer-generation-fast-facts/index.html>.

¹⁰⁵ Jack Moore, “By the Numbers: 2013 Federal Retirements,” *Federal News Radio*, January 8, 2014, <http://www.federalnewsradio.com/520/3537249/By-the-numbers-2013-federal-retirements>.

¹⁰⁶ Alison Hillhouse, October 4, 2012 (11:35 a.m.), “Consumer Insights: MTV’s ‘No Collar Workers,’” *Blog.Viacom*, accessed March 26, 2014, <http://blog.viacom.com/2012/10/consumer-insights-mtvs-no-collar-workers/>.

¹⁰⁷ *Ibid.*

¹⁰⁸ *Ibid.*

¹⁰⁹ Dan Schawbel, “The Gen Y Workplace Expectations Study,” *Millennial Branding*, September 3, 2013, <http://millennialbranding.com/2013/09/gen-workplace-expectations-study/>.

may not be receptive to traditional informal mentoring methods in the workplace. A 2012 study of 1,000 college-educated Millennials by Bentley University found that just 2 percent claimed a mentor provided the most encouragement at work for them; spouses and parents were most likely to provide that support for those who responded.¹¹⁰ These statistics indicate organizations may be missing the mark of Millennial mentoring desires in the practical application of mentoring. The six primary recommendations made by the Bentley study to retain and advance Millennials in the workplace are the following.

- Let Millennials know that their work matters.
- Provide flexible work arrangements for both men and women to spend more time with their families.
- Offer parental leave in a way that both parents feel their jobs are secure.
- Take an interest in the individual's career aspirations by hiring and supporting/sponsoring for career success.
- Create a "work family" that engenders loyalty to the company.
- Create multiple paths and timeframes for individuals to reach leadership positions."¹¹¹

All but the second and third recommendations above may be addressed by mentoring programs, particularly by formal ones. However, this thesis concentrates on the final three recommendations by supporting employees in transition periods within the organization, working in a collaborative environment, and creating one of the paths for individuals to prepare for leadership positions either prior to or upon reaching them. An example of the transitional support comes from the Border Patrol.

The U.S. Border Patrol is facing unprecedented growth. The Border Patrol nearly doubled in size between 2004 and 2011, from 10,819 to 21,444 members.¹¹² This surge in new personnel created a challenge for imparting organizational culture—routinely

¹¹⁰ Bentley University, "Millennials in the Workplace," *Center for Women and Business*, accessed March 30, 2014, <http://www.bentley.edu/centers/center-for-women-and-business/millennials-workplace>.

¹¹¹ Ibid.

¹¹² U.S. Customs and Border Protection, "United States Border Patrol," accessed December 1, 2013, <http://www.cbp.gov/sites/default/files/documents/U.S.%20Border%20Patrol%20Fiscal%20Year%20Staffing%20Statistics%201992-2013.pdf>.

defined as “the way we do things around here”¹¹³—on its relatively inexperienced members, as documented in the most recent agency strategy.¹¹⁴ The Border Patrol is not alone in facing rapid changes and leadership challenges.

Roselinde Torres is a fellow with the Boston Consulting Group, and she gave a Ted talk in San Francisco, California in October of 2013, titled; “What It Takes to Be a Great Leader.” Torres spoke of a study she conducted of 4,000 companies that were asked about the effectiveness of their leadership programs. Fifty-eight percent of those companies reported having “significant talent gaps for critical leadership roles.”¹¹⁵ Torres continued to explain present “narrow 360 reviews” and “outdated performance measures” were linked to “false positive” results for good leaders that can make organizations think they were ready when they were not. Torres claimed leadership needed to ask three questions for their agency to thrive in the future.

- “Where are you looking to anticipate change? (Who are you spending time with? What are you reading? Where are you traveling?)”
- “What is the diversity measure of your network? (You need people that think differently than you and you need to develop relationships with those people)”
- “Are you courageous enough to abandon a practice that has been successful in the past? (Great leaders take risks)”¹¹⁶

Torres also claims that because the world today is so complex, dynamic, and global, “relying on traditional leadership development will stunt your growth as a leader.”¹¹⁷ Succession planning—identifying and preparing future leaders to take the helm—is an important consideration for any organization.¹¹⁸ It is essential to look to the

¹¹³ Nadine Klasen and David Clutterbuck, *Implementing Mentoring Schemes* (London, UK: Routledge, 2012), 87.

¹¹⁴ U.S. Customs and Border Protection, *2012–2016 Border Patrol National Strategy* (Washington, DC: U.S. Customs and Border Protection, 2012), 22.

¹¹⁵ Roselinde Torres, “What It Takes to Be a Great Leader,” *TED*, accessed March 26, 2014, http://www.ted.com/talks/roselinde_torres_what_it_takes_to_be_a_great_leader.html.

¹¹⁶ *Ibid.*

¹¹⁷ *Ibid.*

¹¹⁸ Lois J. Zachary, *Creating a Mentoring Culture: The Organization’s Guide* (Hoboken, NJ: John Wiley & Sons, 2011), 89.

future to anticipate changes—like the challenges and opportunities created by Millennials entering the workforce—and act upon them before they become problematic. Formal mentoring programs appear to be one way of addressing the first two of Torres’ questions, if your agency is willing to answer number three in the affirmative. Torres challenges the status quo of current leadership development methods, and she is not alone.

Barbara Kellerman, a Harvard leadership scholar, claims in her book titled *The End of Leadership*, “the evidence for success [of current leadership development programs] is scant.”¹¹⁹ Some agencies rely on short-term leadership development classes that focus on certain characteristics of leadership. Students may remember and use some of the information, but combining these classroom programs with a long-term approach, such as formal mentoring, could result in improved retention and application of those leadership skills by protégés. Although executives are what come to mind first for many, leaders are not just found at the top of an agency, but at every level.

In the author’s experience, homeland security leaders face “wicked problems” that are different from those experienced by most business and education leaders. “Wicked problems” are defined as “a class of social system problems which are ill-formulated, where the information is confusing, where there are many clients and decision makers with conflicting values, and where the ramifications in the whole system are thoroughly confusing.”¹²⁰ These challenges can be manmade, such as the events of September 11, 2001, natural occurrences like a pandemic flu outbreak or hurricanes, or accidents, such as a commercial airliner crash. Decisions made by leaders during these types of events can literally mean the difference between life and death for civilians and first responders, yet they require adjustment to existing conditions very quickly under ambiguous circumstances and take collaborative efforts with other agencies—regardless of the organization that holds primary jurisdiction for the response—to address.¹²¹

¹¹⁹ Barbara Kellerman, *The End of Leadership* (New York: HarperBusiness, 2012).

¹²⁰ Richard Buchanan, “Wicked Problems in Design Thinking,” *Design Issues* 8, no. 2 (1992): 15.

¹²¹ Arjen Boin, *The Politics of Crisis Management: Public Leadership Under Pressure* (Cambridge, UK: Cambridge University Press, 2005), 1, 12.

Formal mentoring programs may offer a way for agencies to encourage the development of complex skills in their personnel systematically, such as critical thinking and non-traditional collaboration (outside of their own area of expertise), to help to address “wicked problems” better.

Preexisting relationships between the leaders of Arlington and Fairfax Fire Departments were credited for the exceptional coordinated response at the Pentagon on 9/11.¹²² This experience demonstrates prior relationships between homeland security leaders can be important to the outcome of a “black swan” event, a highly improbable event with devastating consequences.¹²³ The time for forming these interpersonal relationships is before these situations happen. Mentoring may help expand the professional network of protégés and facilitate the formation of more trust-based relationships.

C. EXISTING CASE STUDIES THAT MAY HELP TO ADDRESS THE PROBLEM ISSUES

The problems with the status quo have been established, but does the empirical evidence support the effectiveness of formal mentoring programs as hypothesized? A few existing case studies were identified that appeared to be directly on point with this question.

A study from Michigan State University in 1992 compared 212 informally mentored protégés, 53 formally mentored protégés, and 283 people who did not participate in mentoring. The sample included alumni from two educational institutions who graduated from 1956 to 1986.¹²⁴ The performance measures used were salary, intrinsic and extrinsic job satisfaction, work performance, working relationship with others, understanding organizational politics, lingo, traditions, and goals and

¹²² National Commission on Terrorist Attacks Upon the United States, *The 9/11 Commission Report: Final Report of the National Commission on Terrorist Attacks Upon the United States* (Charleston, SC: CreateSpace Independent Publishing Platform, 2010), 314.

¹²³ Nassim Nicholas Taleb, “The Black Swan: The Impact of the Highly Improbable,” *New York Times*, April 22, 2007, <http://www.nytimes.com/2007/04/22/books/chapters/0422-1st-tale.html>.

¹²⁴ Georgia T. Chao, Pat M. Walz, and Philip D. Gardner, “Formal and Informal Mentorships: A Comparison on Mentoring Functions and Contrast with Nonmentored Counterparts,” *Personnel Psychology* 45, no. 3 (Autumn 1992): 624.

objectives.¹²⁵ The results indicated those informally mentored performed significantly higher on all nine performance measures than those without a mentor, formally mentored individuals performed significantly higher in three performance measures than those without a mentor, and no statistically significant difference occurred between those mentored in informal or formal programs.¹²⁶ However, the raw scores for the informally mentored group were slightly above the formally mentored group in every measure, and the formally mentored group fell between the performance measures of informal mentees and no mentoring in all but one performance measure.¹²⁷ Among the recommendations of this study was the need for voluntary participation in formal mentoring programs and careful pairing by the organization of program participants, likening mandatory random assignments to “blind dates.”¹²⁸ Although this study is over 20 years old, the author claims the results still hold true as recently as 2009.¹²⁹ Others have also replicated the study results.¹³⁰

Another study published in 2000 found a difference in mentee benefits between formal and informal mentoring programs except when the mentee or mentor has a certain personality type (as determined by a Myers-Briggs Type Indicator). This study also found that when mentors and mentees share similar personality traits, the benefits to the mentee tended to be higher, but gender or race had no statistically significant correlation to benefits.¹³¹ The results of this study tend to support the 1992 Michigan State study above in that similar differences occurred in the psychosocial and career benefits received

¹²⁵ Chao, Walz, and Gardner, “Formal and Informal Mentorships: A Comparison on Mentoring Functions and Contrast with Nonmentored Counterparts,” 628.

¹²⁶ *Ibid.*, 628–629.

¹²⁷ *Ibid.*

¹²⁸ *Ibid.*, 634.

¹²⁹ Chao, “Formal Mentoring,” 315.

¹³⁰ Ragins and Cotton, “Mentor Functions and Outcomes: A Comparison of Men and Women in Formal and Informal Mentoring Relationships,” 544.

¹³¹ Matthew Barr, “Mentoring Relationships: A Study of Informal/Formal Mentoring, Psychological Type of Mentors, and Mentor/Protégé Type Combinations,” *Dissertation Abstracts International Section A: Humanities and Social Sciences* 60, no. 7A (January 2000).

between formal and informal protégés, and also indicates mentoring has the potential to overcome gender and racial differences in the workplace.¹³²

A 2012 study followed 111 pairs of mentors and protégés in formal mentoring programs of nine Korean companies for seven months.¹³³ This study focused on analyzing benefits received by both the protégé and the mentor, including the potential for leadership development in mentors from formal mentoring that it hypothesized had been previously overlooked. Findings included enhanced transformational leadership abilities (reinforcing skills of personnel that keep an organization competitive) and increased organizational support of mentors and protégés tended to value career-related support more than psychosocial support and role-modeling functions.¹³⁴ The study concluded that while informal mentoring relationships have been shown in literature to provide more benefits, formal mentoring clearly made positive impacts on both mentors and protégés in this study, and it recommended voluntary participation in mentoring programs to produce positive results.¹³⁵ Granted, this study was conducted in a country with customs much different from that of the United States. However, inter-personal and supervisory relationships are formed between people in Korea as they are in the United States. Thus, conservative application of the findings from this study, which is directly on point with the topic and consistent with the two other U.S. case studies in this section, was determined by the author to be reasonable.

The existing case studies discussed in this chapter document psychological benefits and the positive impact of the mentoring process for both mentors and protégés in formal and informal mentoring programs. Informal mentoring is consistently shown to be better by various degrees than formal mentoring overall, and some researchers theorize the gaps in benefits are due to the structure, short duration, and/or process of

¹³² Hansman et al., “Critical Perspectives on Mentoring,” 24.

¹³³ Jae Uk Chun, John J. Sosik, and Nam Yi Yun, “A Longitudinal Study of Mentor and Protégé Outcomes in Formal Mentoring Relationships,” *Journal of Organizational Behavior* 33, no. 8 (November 2012): 1071–94, doi: 10.1002/job.1781.

¹³⁴ Ibid.

¹³⁵ Ibid.

relationship initiation in formal mentoring programs.¹³⁶ However, formal mentoring programs are shown to be superior to no mentoring and provide statistically similar benefits to informal mentoring for psychosocial benefits.¹³⁷ Multiple case studies cited voluntary participation as important for program success. A closer examination of a mandatory formal mentoring program implemented by the CHP in the next chapter provides clues to the psychology behind the recommendation for voluntary participation.

D. CONCLUSION

History shows mentoring is not a new concept, but history also reveals formal mentoring is new by comparison to informal mentoring. Increases in the academic study of mentoring, and implementation of formal mentoring programs in both the public and private sectors has helped to drive some of the changes to traditional mentoring practices, primarily in the last three decades.¹³⁸ These changes may be timed well and have the potential to help address problems with the status quo as generations of workers transition in large numbers in and out of the workforce. Combine this turnover with the complexity and scope of the “wicked problems” faced by homeland security leaders, and it becomes clear that their organizations need to think about succession planning and the quality of current leadership development methods now. The CHP has done just that, and implemented a formal mentoring program specifically to address issues in leadership development.

The first two chapters of this thesis have examined the problems with the status quo of informal mentoring in contemporary homeland security agencies for leadership development and researched formal mentoring in the literature as a potential solution to the identified problems. The next three chapters each examine a formal mentoring program already in place in organizations with homeland security responsibilities. In each case study, an attempt is made to determine if these programs were successful in

¹³⁶ Ragins and Cotton, “Mentor Functions and Outcomes: A Comparison of Men and Women in Formal and Informal Mentoring Relationships,” 544.

¹³⁷ Chao, Walz, and Gardner, “Formal and Informal Mentorships,” 628–629.

¹³⁸ Hansman et al., “Critical Perspectives on Mentoring,” 24.

resolving the problems they were created to fix and what lessons other homeland security agencies can learn from them.

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III. A CASE STUDY OF THE CALIFORNIA HIGHWAY PATROL COACHING AND MENTORING PROGRAM



Figure 1. Patch photo from California Highway Patrol¹³⁹

A. DESCRIPTION OF THE PROGRAM

The first case study is of the California Highway Patrol Coaching and Mentoring Program. As seen in this chapter, the CHP intricately planned the program and its implementation, and fortunately provided the author with extensive and detailed information about this process from which others could benefit. The agency faced program challenges smaller organizations would not simply because of the logistics created by its membership size and huge area of responsibility that were overcome by planning and the use of technology. An examination of mentee surveys provides insight into the perception of the program of those it targets.

The CHP serves the third largest state in the union with a population of approximately 38 million people.¹⁴⁰ As illustrated in Figure 2, the state is broken down

¹³⁹ Image from "Freeway Jumper Stabs CHP Officer during Rescue," Police, The Law Enforcement Magazine, October 22, 2012, <http://www.policemag.com/channel/patrol/news/2012/10/29/freeway-jumper-stabs-chp-officer-during-rescue.aspx>

¹⁴⁰ World Population Statistics, "California Population 2013," accessed April 2, 2014, <http://www.worldpopulationstatistics.com/california-population-2013/>.

into eight patrol divisions that vary dramatically in population, terrain features, and daily activities of those assigned to patrol the various areas within these divisions.



Figure 2. CHP divisions¹⁴¹

The CHP is the largest state police agency in the country with over 11,000 employees, 7,500 of those are sworn officers.¹⁴² By comparison, most local police agencies in the United States are small with 10 officers or less, and the average police agency has 25 sworn officers.¹⁴³ The CHP is one of the few homeland security organizations with a formal coaching and mentoring program that is mandatory for sworn

¹⁴¹ California Highway Patrol, “CHP Divisions,” accessed April 2, 2014, http://www.chp.ca.gov/depts_divs_offs/geodiv.html.

¹⁴² CHP 11-99 Foundation, “CHP Story,” accessed April 2, 2014, <http://www.chp11-99.org/chp-story>.

¹⁴³ drtomoconnor, “Police Structure of the United States,” accessed December 5, 2013, <http://www.drtomoconnor.com/megapolice.htm>.

and civilian ranks throughout the agency.¹⁴⁴ The only exception is for the rank of officer, which is exempt from the formal mentoring program due to a comprehensive three-phase field training evaluation program.¹⁴⁵ However, not every homeland security organization has the manpower needed for a full implementation of a formal mentoring program.

Even though the number of employees in an agency may reduce the realistic expectations of such a full implementation of a formal mentoring program, primarily due to more limited personnel options in small organizations, lessons can be learned by all homeland security agencies from the CHP Coaching and Mentoring Program.

1. History

The impetus for a formalized mentoring/coaching program in the CHP came from a leadership survey of all commanders (lieutenants, captains, and some non-uniformed leaders in the organization with a comparable status) in late 2005, that “overwhelmingly supported” the need for better leadership development.¹⁴⁶ One of the key issues was the perceived need to plan better for the future by passing on organizational knowledge to new leaders since “a large percentage” of mid and upper level managers could or would retire in the near future (within five years of 2008).¹⁴⁷ The agency’s assistant chiefs were then tasked with exploring the feasibility of a formal mentoring program. Early drafts of mentoring program ideas were discussed at a conference on February 24, 2007, and the group identified organizational challenges of the proposal, and potential solutions to most of those challenges, which were documented in the meeting minutes.¹⁴⁸ Dr. Larry Bienati, an adjunct professor and private consultant firm chief executive officer, helped

¹⁴⁴ California Highway Patrol, “HPM 70.13,” 5–3.

¹⁴⁵ Sara Anderson, California Highway Patrol Coaching/Mentoring Program Coordinator, email message to author, May 22, 2014.

¹⁴⁶ California Highway Patrol, *Internal Working Documents for the Mentoring-Coaching Plan* (California: California Highway Patrol, 2009).

¹⁴⁷ California Highway Patrol, *Mentoring/Coaching Program Development Session*, PowerPoint presented at the Mentoring/Coaching Program Development Session (California: California Highway Patrol, October 27, 2008).

¹⁴⁸ California Highway Patrol, *Notes from A/C Conference (draft)* (California: California Highway Patrol, February 24, 2007).

facilitate discussions with the CHP assistant chiefs in the spring of 2008.¹⁴⁹ Many of the initial proposed solutions to the perceived challenges at this meeting were subsequently incorporated into the department policy discussed later in this chapter. For example, proper training of participants to identify roles and a formal means of requiring program feedback clearly to evaluate performance of the program were discussed and later incorporated into agency policy.

On March 26, 2008, the assistant chiefs of the CHP gave a presentation to upper management incorporating ideas from the previous meeting and received unanimous support for their proposal.¹⁵⁰ The buy in by upper management began the process to officially form what was ultimately to become the CHP Coaching and Mentoring Program. CHP revived the Office of Organizational Development (OOD) to oversee the development and implementation of the program and policy statewide.¹⁵¹

Four subcommittees composed of commanders and assistant chiefs were formed to divide the workload. Each group concentrated on a specific part of the program development process: participant selection and roles, program training, policy requirements, and program orientation. The subcommittees were encouraged to complete their work on time and to consider all potential “land mines” to the process.¹⁵² In addition, the personnel participating on these committees were advised of CHP Commissioner Farrow’s expectations for the mentoring program to concentrate on three objectives for the future of the organization—“encourage decision making at the lowest possible level, reaffirm organizational values, and exemplify employees as our greatest resource”—before being divided into the working groups.¹⁵³

¹⁴⁹ VPI Strategies, “Larry Bienati,” accessed May 3, 2014, <http://vpistrategies.com/about-us/larry-bienati/>; California Highway Patrol, *Assistant Chiefs’ Mentoring/Coaching Presentation*, PowerPoint presented at the California Highway Patrol Assistant Chiefs’ Meeting (California: California Highway Patrol, March 26, 2008).

¹⁵⁰ VPI Strategies, “Larry Bienati”; California Highway Patrol, *Assistant Chiefs’ Mentoring/Coaching Presentation*.

¹⁵¹ Ibid.

¹⁵² Ibid.

¹⁵³ Ibid.

The initial program implementation was set for 2009, but was pushed back to January 1, 2010. The CHP Coaching and Mentoring Program was phased in, beginning with commanders. Additional ranks were added (one at a time) until the program covered all ranks for both sworn and civilian employees.¹⁵⁴

2. Department Policy

Goals and objectives of the CHP Coaching and Mentoring program are specified in policy:

To ensure newly promoted, and in some cases newly assigned, employees receive guidance and direction consistent with the Department's mission and vision, the Coaching/Mentoring Program was developed which will incorporate instructional elements designed to provide employees at each rank with the greatest opportunity for success. Goals of the Coaching/Mentoring Program include fostering leadership development by listening to personal and professional challenges and offering guidance, support, and encouragement to address identified issues. Mentors will share critical knowledge and experience in order to foster teamwork-oriented philosophies. This will be done in an effort to develop our future leaders while ensuring the legacy of the California Highway Patrol (CHP).¹⁵⁵

Mentoring is defined by CHP as "...a mutually beneficial relationship in which a knowledgeable veteran employee provides insight, guidance, and development opportunities to a less experienced colleague."¹⁵⁶ The written policy of CHP specifies formal education components for the mentee, the mentor (at the same rank as the mentee), and the coach (one rank above the other two) to prepare them for the program offered on-line by the agency.¹⁵⁷

The division commander or designee selects mentors, but members interested in being mentors are encouraged to apply to the division commander. Preferred traits of mentors are specified as the following.

¹⁵⁴ California Highway Patrol, *Coaching/Mentoring Program Progress Report*, Internal Working Document (California: California Highway Patrol, October 2009).

¹⁵⁵ California Highway Patrol, "HPM 70.13," 5-3.

¹⁵⁶ *Ibid.*, 5-5.

¹⁵⁷ *Ibid.*

- Knowledge of the CHP strategic plan, mission statement, vision and goals
- Enthusiasm and motivation toward participation in the program and their job
- Proven knowledge, skills, and abilities
- Possess experience and knowledge of challenges and be willing to share it
- Possess excellent communications skills to include listening and interpersonal skills
- Trustworthy, honest, and flexible
- “A forward, global thinker who is available and has the Department’s and the mentee’s best interests in mind at all times.”¹⁵⁸

Mentors are usually in the same division as the mentee, not on probation, and in the same rank or classification as the mentee, but exceptions to this policy are allowed. For instance, the involved division commanders can agree to a mentoring partnership beyond divisional boundaries when an employee with a unique classification (where only a few such positions exist statewide) needs a mentor. This arrangement is intended to facilitate the sharing of knowledge specific to the position.

Coach is a term often used interchangeably for mentor in literature. The CHP Coaching and Mentoring Program policy takes a different approach and defines a coach as the immediate supervisor of the mentee. CHP coaches are expected to “educate, prepare, train, encourage, motivate, and to impart knowledge and skill.”¹⁵⁹ These expectations are identical to those of a mentor from mentoring literature sources, but unique to the CHP policy is that coaches are responsible for facilitating the inter-personal relationships, overseeing the relationship, monitoring the progress, and ensuring the mentee completes the required initial self-assessment.¹⁶⁰ Coaches are expected to address problem issues between the mentor and mentee as they occur.

¹⁵⁸ California Highway Patrol, “HPM 70.13,” 5–5.

¹⁵⁹ Ibid.

¹⁶⁰ Ibid.

Within the first 30 days of a new assignment (new hire or promotion), commanders or coaches are responsible for assigning a mentor to the employee, providing the orientation memorandum to the employee at the initial meeting with both the mentor and mentee, and providing an initial self-assessment checklist (a series of questions about both personal and professional growth development) to the mentee.¹⁶¹ The commander is also tasked with considering the knowledge, skills, and abilities of mentors when assigning them to a mentee.

New first line supervisors (sergeants and civilians) and new command level supervisors also have an internally developed orientation checklist provided to them as part of the mentoring program in an effort to structure critical content systematically. The Sergeant's Orientation Checklist (form CHP 27) is an eight-page list of the agency's specific expectations related to common tasks performed by a first line supervisor. Form CHP 27 covers a variety of topics in 15 different task lists, such as implementation of CHP policy and procedures, performance under stress, emergency operations, communications and interpersonal skills, personnel performance and development, personnel investigations, supervisory decision making, and even report writing.¹⁶² Space is provided on this form for CHP division commanders to add task requirements unique to their division. Reviewing supervisors are required to cover each task list topic with the new sergeant and verify completion of each task list by initialing the form in the space provided.

Scheduled meetings between mentors and mentees are expected to be conducted at least monthly. Meetings are allowed to be in person, by telephone, electronic mail, or any other form of person-to-person communication.¹⁶³ Responsibility for scheduling such meetings is assigned to the mentor. The initial meeting is required to occur within 30 days of assignment and is to include a dialogue of the strengths and weaknesses of the mentee identified through a self-assessment. Participation in the CHP

¹⁶¹ California Highway Patrol, "HPM 70.13," 5-3.

¹⁶² California Highway Patrol, *Sergeant's Orientation Checklist, CHP 27* (California: California Highway Patrol, revised August 2013).

¹⁶³ Anderson, California Highway Patrol Coaching/Mentoring Program Coordinator.

Coaching/Mentoring Program is documented in the performance evaluations of both the mentor and mentee.¹⁶⁴

A number of literature resources reviewed cite the need for monitoring and evaluating formal mentoring programs; the CHP policy mandates all participants fill out on-line surveys upon completion of the program that are compiled by the Office of Organizational Development. During their participation in the program, mentees are also encouraged to select and read a self-development book from an “executive reading list” posted on the OOD website. On this same website, on-line training resources are made available to the mentor and mentee that focus on skill development for the mentee, which are optional.¹⁶⁵

3. Practical Application

The CHP has a diverse range of responsibilities that vary with geographic location and staffing assignments reflect this diversity. Satellite offices with multiple officers on the same shift have an advantage over more rural assignments (that may only have one officer on duty in a jurisdiction) when it comes to pairing participants and scheduling time for mentors and mentees to meet or interact. Ideally, mentees and mentors would work the same shift as much as possible in the same jurisdiction. However, working the same shift is not always possible or practical—even in urban assignments—and this situation creates challenges for command staff members and the mentoring program participants that are reflected in the mentee survey responses below.

The challenge of training participants in a program with different starting dates over a huge jurisdiction is handled by the CHP through a web-based training program. Participants can take the required courses at their convenience using their computer. The Office of Organizational Development posts, updates, and maintains these training programs, and coaches, mentors, and mentees take different courses. Conducting training on line saves the organization money and man-hours associated with members traveling from all across the state to a central location for training. With a huge jurisdiction

¹⁶⁴ California Highway Patrol, “HPM 70.13,” 5–7, 5–8.

¹⁶⁵ *Ibid.*, 5–9.

covered and a large staff, it would not take long for travel costs for training to become expensive. The practicality and cost effectiveness of this system trumps concerns over the lack of personal interaction with students during training.

The mentoring program officially lasts for the probationary period of the mentee. The probationary period is one year for those in uniform upon receiving an initial assignment or being promoted to a higher rank. However, in the non-uniformed ranks or classifications probationary periods vary from six months for some to one year for others depending on the employee's assignment.¹⁶⁶

The OOD maintains overall responsibility for the review of the mentoring program including reviews, the collection of survey data, the evaluation of the data collected, and "trend analysis" for management regarding problem issues and the overall direction of the program.¹⁶⁷ In practice, these duties are primarily assigned to one person in the organization who is a civilian employee.

B. EVALUATION RESULTS

The CHP requires all participants in the Coaching and Mentoring Program to complete an on-line survey about their participation upon conclusion. The survey asks 10 questions with responses to the first nine on a rating scale of 1 to 10 (1 = lowest, 10 = highest). The last question allows for written comments. The ten questions are as follows.

- "How useful do you feel the program was for your current position/development?"
- "How likely would you be to recommend this program to other newly promoted personnel?"
- "How successful do you feel the program was for you as an individual?"
- "How sufficient do you feel the topics covered by your mentor were for your development?"

¹⁶⁶ Coaching/Mentoring Program Coordinator Sara Anderson, California Highway Patrol, email message to author, May 6, 2014.

¹⁶⁷ California Highway Patrol, "HPM 70.13," 5-4, 5-5.

- “How sufficient do you feel the time allotted (per policy) was to meet with your mentor?”
- “How would you rate the overall Coaching/Mentoring Program?”
- “How effective do you feel the coordination between the command and your mentor was?”
- “How engaged and committed do you feel your mentor was to you and the program?”
- “How comfortable did you feel discussing issues with your mentor in confidence?”
- “What suggestions do you have to improve the Coaching/Mentoring Program?”¹⁶⁸

The CHP collected the data used for this evaluation between September 24, 2012, and March 4, 2014. The information shown in Table 2 was obtained from an analysis of 133 anonymous CHP mentee survey responses received during that approximately 17-month period.¹⁶⁹ These responses are required to be submitted electronically to the OOD by the mentee upon completion of the program.

Analysis of CHP Mentee Survey Responses

Question Number	Average Response	Number of “1”s	Number of “10”s
1	6.3	19	26
2	6.7	17	39
3	6.1	22	24
4	6.4	20	29
5	6.4	20	37
6	6.3	18	24
7	6.8	20	35
8	7.0	18	43
9	7.4	20	64

Table 2. Statistical data compiled from review of 133 CHP mentee survey responses filed between September 24, 2012, and March 4, 2014

¹⁶⁸ California Highway Patrol, *Coaching/Mentoring Program Mentee Survey* (California: California Highway Patrol, 2010).

¹⁶⁹ California Highway Patrol, *Mentee Survey Response Data* (California: California Highway Patrol, submitted between September 24, 2012 and March 4, 2014).

Comments for question 10 in order of frequency are as follows.

- Need to schedule more work time (work the same schedule) as mentor (17)
- Helpful program/good “as is” (13)
- Problem issues with mentor and/or coach (6)
- Program duration too short (4)
- Need to start program immediately upon promotion/probationary period (3)
- Need to be in the same job or area as mentor (3)
- Program works best for new personnel or inexperienced supervisors (2)
- Program is not beneficial/needed (2)
- Program should be voluntary (2)
- Supervisor training should not be done by computer (2)
- Better explanation of program needed for participants (2)
- Mentee should be involved in the selection of a mentor (1)
- Not a good fit for the particular (civilian) job (1)
- Having two mentors due to unusual circumstances was beneficial (1)

Although participant surveys have limitations due to subjectivity, they do provide insight into the perception of the program by those in it.¹⁷⁰ One study shows perceived organizational support by employees is one of the reasons why mentoring programs work, as when protégés feel the agency cares about them, they have higher levels of job satisfaction and organizational commitment and are less likely to leave.¹⁷¹ The CHP surveys indicate the primary problem reported by mentees involves addressing scheduling issues with the mentor and protégé to allow them time to interact with each

¹⁷⁰ Stromei, *Creating Mentoring and Coaching Programs*.

¹⁷¹ Lisa Baranik, Elizabeth A Roling, and Lillian T. Eby, “Why Does Mentoring Work? The Role of Perceived Organizational Support,” *Journal of Vocational Behavior* 76, no. 3 (June 1, 2010): 366–73, doi: 10.1016/j.jvb.2009.07.004.

other at work. However, the majority of the responses and comments were favorable toward the CHP Coaching and Mentoring Program, with a number of the written responses to the final question offering constructive criticism. The second most repeated comment was the program was “good the way it is” with 13 such responses—compared to only two participants who stated the program was “not beneficial or needed.”

Fifteen respondents gave each of the first nine questions a “1” and 11 gave each of them a “10.”¹⁷² Clearly, the CHP program did not work as intended for the 15 who gave all “1s” to these questions. It is expected that with mandatory implementation, some participants may be reluctant to participate. However, another explanation for the minority of mentees who had a poor experience may also be possible.

The two questions about the mentor; “How engaged and committed do you feel your mentor was to you and the program?” and “How comfortable did you feel discussing issues with your mentor in confidence?” received the strongest positive reactions from the mentees who responded to the survey. With some exceptions (notably the 18 and 20 participants, respectively out of 133 who consistently gave the lowest marks to these two survey questions) the survey data indicates the CHP Coaching and Mentoring Program has been successful at establishing the perception of trust and confidence in the mentee toward the mentor with the vast majority of the organizational pairings. This trust factor is critical for the long-term success of a formal mentoring program as it helps to open the mentee’s mind to advice and guidance by the mentor.¹⁷³

The opposite of establishing trust is a perceived “breach of psychological contract” in the mentoring relationship. A psychological contract is “an individual’s belief regarding the terms and conditions of a reciprocal exchange agreement between that focal person and another party.”¹⁷⁴ In mentoring, psychological contracts are formed between mentors and mentees with each forming an individual opinion of what the

¹⁷² California Highway Patrol, *Mentee Survey Response Data*.

¹⁷³ Zachary, *Creating a Mentoring Culture*, 89.

¹⁷⁴ Denise M. Rousseau, “Psychological and Implied Contracts in Organizations,” *Employee Responsibilities and Rights Journal* 2, no. 2 (June 1, 1989): 123, doi: 10.1007/BF01384942.

obligations to, and expectations from, the other party are.¹⁷⁵ The CHP mentees giving their mentors the lowest score possible in response to questions 8 and 9 may indicate a perceived breach of the mentees' psychological contract by their mentor.

C. ANALYSIS AND IDENTIFIED SMART PRACTICES

CHP leadership took the initiative to examine the organization to determine the agency's needs and limitations of staff development. Action was taken by the agency on the problem issues identified through brainstorming sessions that ultimately resulted in the management decision to implement a formal mentoring program. Internal agency notes, PowerPoint presentations, and meeting minutes for the four plus years of preparation and planning prior to implementation demonstrate that the CHP staff members tasked with building this formal mentoring program from the ground up took calculated, measured, and deliberate steps to identify practices likely to receive a positive reception by their personnel. Staff members also smoothed out challenges before they became problems and researched the content, goals, and objectives expected by agency leadership prior to building the program. For example, a section on discipline was removed from the mentoring program policy to focus on positive reinforcement. Discipline was seen as the responsibility of the coach as a supervisor, and a topic that should already be understood.¹⁷⁶

The CHP developed and implemented training programs for all the players prior to their participation. The responsibility for developing the lesson plans and content of the training was assigned to separate work committees for mentors and mentees. The organization was careful not to implement the program before it was ready, as evidenced by pushing back the initial scheduled start date. The CHP also took incremental steps by implementing their formal mentoring program in stages by rank. The fact that the organization chose to start near the top of the rank structure and go down was a smart choice for a completely new mandatory program to "get some of the bugs out" before

¹⁷⁵ Haggard and Turban, "The Mentoring Relationship as a Context for Psychological Contract Development," 1906.

¹⁷⁶ California Highway Patrol, *Internal Working Documents for the Mentoring-Coaching Plan*.

implementation at the lower ranks. This strategy also showed agency leaders were not asking those reporting to them to do something they were not willing to do themselves.

The literature review in Chapter I revealed six steps for the development of a successful formal mentoring program. The steps in this process are listed in order, but the process is circular instead of linear as the last step leads back to the first in which changes can be made and the cycle begins again. Based on these steps, the following list includes smart practices for the CHP and policy lessons from the development and implementation of the CHP Coaching and Mentoring Program from which other homeland security agencies can learn.

- Conduct an organizational needs assessment
 - A statewide self-assessment of agency needs came first with a survey, and the findings were subsequently acted upon by CHP leadership
 - Specifically, the CHP identified the need for improving leadership development at all ranks as the primary problem issue
- Planning—determine the guidelines, goals and objectives for the program
 - Once the decision was made to develop a formal mentoring program, the CHP planned the implementation strategies to address the perceived problem issues of improving leadership development and succession planning
 - The CHP Coaching and Mentoring Program demonstrated good planning for the perceived challenges to the implementation of the program can smooth the bumps in the road; delaying implementation until such challenges were resolved and phasing in participation to work out problem issues are two such examples from this case study
- Identify participants—both mentors and mentees
 - The CHP identified and specifically defined the roles for all participants
 - Participation in the program is mandatory; everyone has equal access automatically
- Train participants
 - The players (mentors, mentees, and coaches) are trained about their specific roles and expectations prior to their participation in

the program, and the training programs were developed around the defined individual roles by committees formed from CHP members

- The CHP used on-line training programs to eliminate travel expenses and resolve time constraint issues for program participation; while generally viewed as not as effective as in person training, on-line training solved critical logistics issues facing the program that may not be a problem for smaller agencies
- Pair the participants
 - Mentees are paired with mentors by their CHP division commander; in an agency the size of the CHP, this individual spends much more time around the participants than the mentoring program coordinator
- Monitor, evaluate, and refine the program
 - The CHP created the OOD to oversee the Coaching and Mentoring Program statewide, but in reality, one person is responsible for program oversight
 - Evaluation procedures were put into policy in the form of participant surveys and completion of those surveys was made mandatory
 - “Coaches” are assigned to mentors and mentees by the CHP to oversee and facilitate the mentoring process that have the supervisory authority to make changes if necessary
 - Participation in the mentoring program is made part of the employees’ work profile for performance evaluations providing an external incentive to “do their part”

Other policy lessons that do not fit neatly into one of the above program development steps exist in this case study, such as the following.

- Leaders went first to address problem issues with the program and lead by example, which may have been a particularly “smart choice” for the CHP considering the subsequent mandatory implementation of this program at all ranks
- Do not expect perfection, as evidenced by the mentee survey results, no matter how much time and effort is put into planning and implementation, interpersonal relationships are an essential element of mentoring, and problem issues associated with some of them will arise

D. CONCLUSION

The case study of the CHP Coaching and Mentoring Program shows the agency followed the steps necessary to develop and implement a successful mentoring program identified in the literature review. The organization faced challenges in this process that were compounded by the sheer size of the agency and the vast geographic territory it is responsible to cover. However, it overcame them with planning and strategy that fit its organization. While the survey responses of mentees were not all positive, the vast majority of the participants responded favorably regarding their experience.

Lessons can be learned from the CHP program by homeland security agencies that wish to implement a formal mentoring program regardless of the organization's size and discipline. The next chapter reviews the formal mentoring program in the smallest agency associated with the three case studies, the Lansing (Michigan) Police Department. Comparing the experience of the two agencies, size does appear to matter; with the smaller agency having an advantage when it comes to program planning and implementation.

IV. A CASE STUDY OF THE LANSING (MICHIGAN) POLICE DEPARTMENT MENTORING PROGRAM



Figure 3. Lansing police department seal¹⁷⁷

A. DESCRIPTION OF THE PROGRAM

The Lansing Police Department was an early adopter of formal mentoring programs in homeland security and blazed a path others like the CHP have followed. This case study is a testament to the impact one individual can have on an organization. The challenges faced by LPD, and the approaches taken to address them, are documented in this chapter.

Lansing is the capital city of Michigan. According to the U.S. Census Bureau, the city is just over 36 square miles with a population of approximately 114,000.¹⁷⁸ The LPD was created in 1893, and is comprised of 228 employees, 194 of whom are sworn.¹⁷⁹ The department is divided into three divisions: patrol division, investigations division, and staff services division with an additional accounting services section and office of internal affairs.¹⁸⁰

¹⁷⁷ Image from City of Lansing, Michigan, "Police Department," accessed May 6, 2014, <http://www.lansingmi.gov/police>.

¹⁷⁸ United States Census Bureau, "State & County QuickFacts, Lansing (city), Michigan," accessed April 3, 2014, <http://quickfacts.census.gov/qfd/states/26/2646000.html>.

¹⁷⁹ Lansing Police Department, "Lansing Police Department 2011 and 2012 Annual Report," 2, accessed March 24, 2014, http://www.lansingmi.gov/media/view/Annual_Report_2011_and_2012/6258.

¹⁸⁰ Ibid.

The city mayor, city council, and the Lansing board of police commissioners are all elected for four-year terms with the mayor, half of the eight city council members, and eight board of police commissioners elected at large. The remaining city council members and police commissioners are representatives from each of the city's four wards.¹⁸¹

1. History

The LPD implemented a formal mentoring program in April 1997 to try to address problem issues created by hiring 42 percent of their personnel within the previous four years. Lieutenant Julie Williams, now retired, designed this program in an attempt to transfer technical skills and knowledge systematically from experienced officers to junior ones and to improve employee retention rates. Williams was attending the Northwestern University Traffic Institute School of Police Staff and Command in 1996, and she researched and developed the LPD formal mentoring program as part of the requirements of her coursework.¹⁸² At the same time, the mayor of Lansing wanted to improve the diversity of the police department. In 1996, the LPD was comprised of 15.4 percent minority and 13.5 percent female officers, and the mayor set a goal to increase minority representation in the LPD to 25 percent.¹⁸³ The LPD mentoring program proved to be both popular and successful at achieving its goals (including the mayor's diversity initiative), and it was expanded to include the 911 Communications Center in 1998.¹⁸⁴

The LPD Communications Center is responsible for all emergency and administrative (non-emergency) communications for the City of Lansing, and by contract, the County of Ingham, which has seven other police agencies, six fire

¹⁸¹ Lansing Police Department, *Report to United States Department of Justice Law Enforcement "Best Practices" Project* (Lansing, MI: Lansing Police Department, 2000).

¹⁸² *Ibid.*

¹⁸³ *Ibid.*

¹⁸⁴ Lansing Police Department, "Officer to Officer Mentor Program."

departments, and four emergency medical services agencies.¹⁸⁵ The center also takes reports for certain minor crimes occurring in the City of Lansing over the telephone.

The LPD mentoring program and the program's founder have received a number of accolades since it began. Lieutenant Julie Williams received the 1999 Criminal Justice Women of Michigan Officer of the Year award for her contribution to the LPD mentoring program.¹⁸⁶ The program itself was a finalist for the 2000 International Association of Chiefs of Police (IACP) Webber Seavey Award out of 205 entries, and in 2001, the U.S. Department of Justice Policy Link Initiative cited the LPD Mentor Program as a "best practice."¹⁸⁷ Today, the LPD mentoring program is alive and well, and coordinated by a sworn officer, Lieutenant Cheri Ballor.

2. Department Policy

The LPD mentor program is directed toward new members of the agency, particularly sworn members, and communications personnel. The program is voluntary, but participation for new personnel is "strongly encouraged." The ground rules for both mentors and protégés are spelled out in department policy and specifically include the following.

- Program participants are not compensated ("monetarily or otherwise") for their involvement in the program
- Protégés are required to contact their mentor while on-duty, unless they receive permission from the mentor to do otherwise and mentors are to provide their schedules to protégés
- No romantic or sexual relationships are allowed to occur between program participants
- Protégés are held responsible for their own progress
- Participants are to consult the program coordinator for problem issues or concerns as they arise

¹⁸⁵ Lansing Police Department, *Report to United States Department of Justice Law Enforcement "Best Practices" Project*.

¹⁸⁶ Ibid.

¹⁸⁷ Lansing Police Department, "Officer to Officer Mentor Program."

- Mentors and protégés share the responsibility to “meet regularly” to work on identifying the “strengths, weaknesses, goals (long and short term), and career development needs” of the protégé¹⁸⁸

By policy, commanders and supervisors are required to schedule on-duty meetings between mentors and protégés during the first week of employment of the protégé.¹⁸⁹ Unique to this case study was the fact that the LPD also expressed its program goals for the organization, protégé, and mentor in the policy documentation as follows.

- Organizational goals and objectives
 - Increase employee retention
 - Better assimilate new hires into the agency
 - Increase job satisfaction and loyalty
 - Development of professional identity
 - Provide a support system for employees
 - Facilitate professional development of protégé
 - Teach organizational culture, values, mission, and standards
- Protégé goals and objectives
 - Successfully complete probationary period
 - Smooth transition into the LPD
 - Enhance current skills
 - Identify career goals
 - Career development
- Mentor goals and objectives
 - Provide a critical service to the LPD in the attainment of program goals
 - Play a pivotal role in protégé successful completion of the LPD probationary period
 - Professional development of junior employees
 - Enhancement of own skills and knowledge

¹⁸⁸ Lansing Police Department, “Police Department Mentor Guidelines,” accessed January 16, 2014, http://www.lansingmi.gov/mentoring_guidelines.

¹⁸⁹ Ibid.

- Reinvigorate own career development
- Instill a sense of pride and accomplishment¹⁹⁰

Another unique feature of this program is the entire LPD mentoring policy is posted on the Internet at www.lansingmi.gov/mentoring-guidelines.

3. Practical Application

Union issues had to be overcome for the LPD mentoring program to even be implemented. The decision to ensure no additional compensation of program participants was in response to concerns raised by the Fraternal Order of Police (FOP) (which represents both the sworn officers and the communications center personnel) that the program may interfere with the Field Training Officer (FTO) program. The FOP did not want the mentoring program to impact the monetary compensation received by the FTOs for their work with new officers. The mentor program coordinator met with the FOP president to address these concerns by explaining the boundaries between the two programs and ensuring the FOP that the divisions between them would be monitored closely to prevent mission creep into the FTO program.¹⁹¹ The mentoring program is designed to be a support system and behavioral (positive attitude) role model for new employees as they transition to a new profession and mentors were trained to do so, while the FTO program is intended to train new personnel on how to perform their new job. Field training officers can be voluntary mentors, but they do not train and mentor the same individual.¹⁹²

Unlike the CHP experience, the LPD program coordinator's leadership initially lacked confidence in the mentoring program to be successful while in the planning stages. Part of the issue was the challenge presented by labor organizations, such as the FOP that existed at the time to initiate any new program, but doubts that the mentoring program could make a difference also existed within the leadership of the organization. In fact, the chief of police at the time told the coordinator to go ahead and try it (the mentoring

¹⁹⁰ Lansing Police Department, "Police Department Mentor Guidelines."

¹⁹¹ Lansing Police Department, *Report to United States Department of Justice Law Enforcement "Best Practices" Project*.

¹⁹² *Ibid.*

program), but he doubted it would work.¹⁹³ What the coordinator found was generally, the agency's personnel recognized the same problem issues she had identified and wanted to take action to improve the future of the organization and maintain the organizational culture.¹⁹⁴

New hires at the LPD are introduced to the mentoring program through a video and in-person explanation of the process while still in the hiring process. Sworn mentors come from the ranks of police officer through lieutenant, and mentor newly hired sworn officers.¹⁹⁵ Other civilian employees who may or may not be communications system operators mentor newly hired communications center employees. The program coordinator trains volunteer mentors in a one-day session and no one who volunteers is turned away from the program. Once trained, these prospective mentors wait to be paired with a protégé. By 2000, one third of LPD personnel were mentors in the program and practically every new hire voluntarily participated.¹⁹⁶

The importance of employing good listening skills is stressed in the LPD mentoring program training PowerPoint presentation for mentors. Expectations of both mentors and protégés are also covered in detail. The LPD mentor training is divided into the following topics.

- History and definitions of mentoring
- Mentor and protégé criteria
- Mentoring components
- Overview of the LPD mentoring program
- Program goals, policy, and guidelines
- Communication essentials
- Cadet, FTO and Communications Training Officer (CTO) programs

¹⁹³ Lansing Police Department, *Report to United States Department of Justice Law Enforcement "Best Practices" Project*.

¹⁹⁴ Ibid.

¹⁹⁵ Ibid.

¹⁹⁶ Ibid.

- The mentor role¹⁹⁷

The role of the mentor is distinguished from that of a sponsor or role model. Although at times some of the functions related to those titles overlap, the mentor is likely to perform almost all of them at some point in the relationship and plays a larger role in career development overall. Mentors are provided with a guidebook that reinforces their training for later referral.¹⁹⁸

LPD mentors are taught to challenge their protégé to be a critical thinker.¹⁹⁹ The expert consensus is that critical thinking is a "...purposeful, self-regulatory judgment which results in interpretation, analysis, evaluation, and inference, as well as explanation of the evidential, conceptual, methodological, criteriological, or contextual considerations upon which that judgment is based."²⁰⁰ In other words, critical thinking is a systematic way of looking at information to understand the alternative positions, rationally decide on a position while being aware of personal bias, and being able to explain why.

The pairing of program participants is a major difference between informal and formal mentoring. At the LPD, mentors are paired with protégés by the program coordinator based on participant responses to a questionnaire. This survey assesses both job related and personal characteristics. For example, the questionnaire considers religion, education (specifically the school attended), hobbies and interests, volunteer work, previous jobs (to include military branch served in), family background, specialized skills, special assignments, prior residences, and even asks respondents to identify any other likes and dislikes they think are important.²⁰¹ Pairings are made on the

¹⁹⁷ Lansing Police Department, *Mentoring*, PowerPoint presented at the Mentor Training Presentation (Lansing, MI: Lansing Police Department, 1997).

¹⁹⁸ Ibid.

¹⁹⁹ Ibid.

²⁰⁰ Peter A. Facione, "CriticalThinking, What It Is and Why It Counts, 2006 Update," *Educate at Virginia Tech*, accessed May 4, 2014, 14, <http://www.educate.vt.edu/PSLC/modules/fall12/currip/lesson4/Facione2006CriticalThinking.pdf>.

²⁰¹ Lansing Police Department, *Mentor Program Questionnaire* (Lansing, MI: Lansing Police Department, 1997).

“best available match and are not restricted by workgroup, precinct, or shift assignment.”²⁰²

Like the CHP, the LPD also ran into problem issues related to shift assignments. The program administrator listed this issue as one of the obstacles the program faced in the agency’s report to the U.S. Department of Justice Law Enforcement “Best Practices” Project. It stated, “The best remedy to these barriers is a quality M-P [mentor-protégé] pairing wherein both parties’ desire to make contact and their commitment to the relationship exceeds any time or physical barrier thrust between them.”²⁰³

B. EVALUATION RESULTS

In 1997, the retention rates of sworn personnel hired by the LPD slipped to 63 percent from 74 percent in 1995, and 83 percent in 1996, and the retention of communications center personnel in 1997 fell to just 14 percent from 43 percent the previous two years.²⁰⁴ The costs for such poor retention rates do not take long to add up. In 2000, it cost \$48,838 to hire, train, and equip a newly hired sworn officer in the LPD.²⁰⁵ The mentoring program was credited by the agency with quickly turning this trend around with the results apparent in Figures 4 and 5.

Minority and female representation in the department increased to 24.9 percent and 18.8 percent, respectively by July 2000 (from 15.4 percent minority and 13.5 percent female in 1996).²⁰⁶ The percentage of minorities and women promoted into supervisory positions also increased.

²⁰² Lansing Police Department, *Report to United States Department of Justice Law Enforcement “Best Practices” Project*.

²⁰³ Ibid.

²⁰⁴ Ibid.

²⁰⁵ Ibid.

²⁰⁶ Ibid.

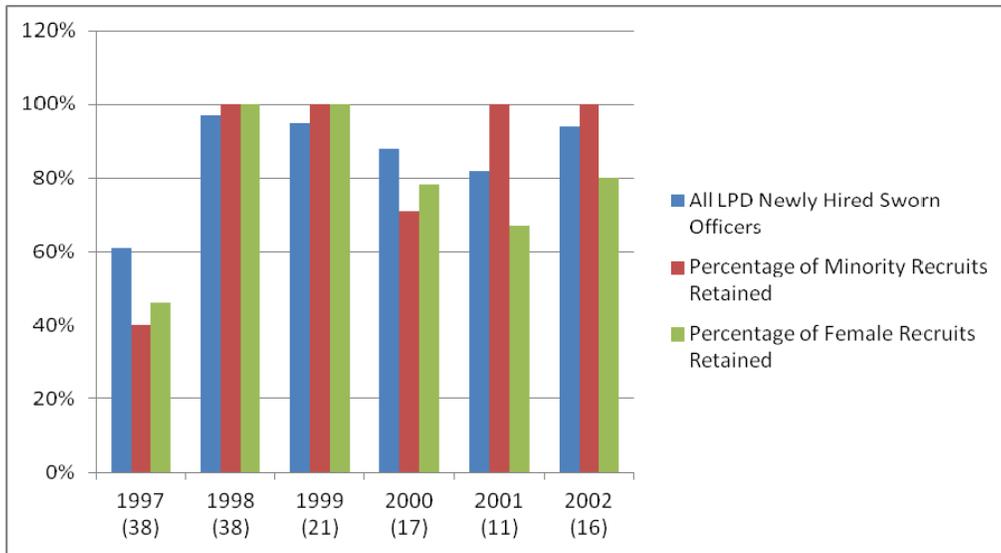


Figure 4. Retention rates of newly hired LPD recruits by category. The mentor program was implemented in April of 1997. The number of recruits hired is displayed in parenthesis below the year they were hired.²⁰⁷

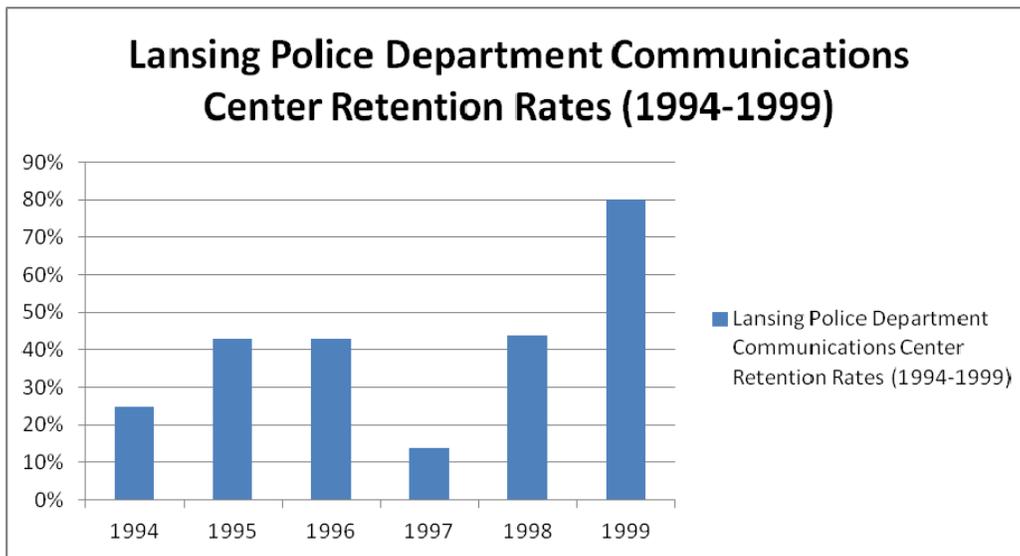


Figure 5. Retention rates of the LPD communications center. The mentoring program was expanded to include this center in 1998.²⁰⁸

²⁰⁷ Lt. Cheri Ballor, Lansing Police Department, Mentor Program Retention and Participant Data (Sworn, Academy Recruit, Cadet), email message to author, April 9, 2014, 9:59 AM.

²⁰⁸ Lansing Police Department, *Report to United States Department of Justice Law Enforcement "Best Practices" Project*.

Retention rates measure behavior of protégés participating in the mentor program when compared to retention rates prior to implementation of the program. From 1994 to 1997, LPD retention rates of new employees averaged 75 percent, but that average increased to 88 percent from 1998 to 2002.²⁰⁹ The results from the communications center also show improvements in new employee retention as show in Figure 5.

Survey data from participants is also collected. However, that information was not examined in this case study due to the presence of personal identifying information and administrative restrictions placed on this student. What can be reported relevant to surveys from the LPD mentoring program is from previously published materials written by the founder of the program. Lieutenant Williams wrote about one of the individual examples of the LPD mentor program’s success, which was a statement by a male new hire that “...he was living proof that this program works—for without it, he would not presently be an officer with the department.”²¹⁰ Williams explained this same individual went on to become a “second generation” mentor in the program.

More recent statistics from the LPD are not a fair representation of the mentoring program results primarily due to the layoff of 36 sworn employees on July 1, 2011 because of financial hardship reasons. For the next two and a half years, new hires at the LPD were primarily those members who were laid off in 2011 being re-hired.²¹¹ The fact that some of those laid off were interested in returning to the LPD is evidence of the continued improvement in the retention of new employees since 1997.

C. ANALYSIS AND IDENTIFIED SMART PRACTICES

The LPD was one of the first homeland security agencies outside of emergency medicine to develop and implement a formal mentoring program. This program began with an academic review of problem issues by one member of the agency, Lieutenant

²⁰⁹ Ibid.; Ballor, Lansing Police Department, Mentor Program Retention and Participant Data, April 9, 2014, 9:59 AM.

²¹⁰ Lansing Police Department, *Report to United States Department of Justice Law Enforcement “Best Practices” Project*; Ballor, Lansing Police Department, Mentor Program Retention and Participant Data, April 9, 2014, 9:59 AM.

²¹¹ Lt. Cheri Ballor, Lansing Police Department Mentor Program Coordinator, email message to author, April 9, 2014, 10:57 AM.

Williams. She sought a way to flatten the learning curve of new officers systematically, transfer organizational culture to new members, and improve the overall morale in the agency to improve the retention rate of new employees. One person, under the right combination of circumstances, invested substantial time and effort, and started a formal mentoring program from scratch. Having one person so heavily involved in the mentoring program for an organization creates challenges in sustaining the level of program performance and knowledge of the process should that individual leave the agency. Succession planning and cross training of the duties of a mentor program coordinator should be a consideration of the agency to help ensure the health of the program.

The LPD mentor program case study supports prior research studies discussed in Chapter III regarding perceived organizational support as demonstrated by the sustained improvement in new employee retention rates. Diversity percentage improvements may owe some success to hiring practices by the agency, but the retention rates of minority and female officers shown in Figure 4 show the mentoring program was successful with helping to assimilate new officers to the organization successfully, with 100 percent minority retention for four of the first five full years after the mentoring program began.²¹²

Other homeland security agencies have the opportunity to learn from the creation and design of the LPD mentoring program by identifying smart practices and policy options. Comparing the LPD experience to the synthesized process of formal mentoring program development in the literature review reveals the following smart practices and policy lessons of this case study.

- Conduct an organizational needs assessment
 - The LPD identified specific problem issues and sought a solution to them; in other words, the agency conducted an honest organizational self-assessment even if it was primarily conducted by one individual
- Planning—determine the guidelines, goals and objectives for the program

²¹² Lansing Police Department, *Report to United States Department of Justice Law Enforcement “Best Practices” Project*.

- The LPD mentoring program was developed around the problem issues, namely, improving new sworn employee retention rates and diversity and passing on LPD organizational culture and knowledge to new employees
- Challenges to program implementation were anticipated and addressed by convincing leadership to implement the program and working with collective bargaining organizations to earn their favorable endorsement; key factors for success in this case
- Ensure goals, objectives, and expectations for the protégé, mentor, and organization are all in the agencies' written policy and make them clear to everyone involved in the process
- Identify participants—both mentors and mentees
 - Protégés are limited to new employees at the LPD and the mentoring program is distinct from the FTO program; consistent with the goals of retaining new employees and personnel diversification
 - Program participation is voluntary for both mentors and protégés and no one is turned away from participation
- Train participants
 - Training participants is the responsibility of the mentoring program coordinator at the LPD and is accomplished in a classroom setting before participation
- Pair the participants
 - The LPD pairs the mentor and protégé by compatibility based on responses to both personal and professional questions to help facilitate the interpersonal relationship that is the heart of any type of mentoring (this step in the process is often cited as one of the most critical components of any formal mentoring program by literature sources)
- Monitor, evaluate, and refine the program
 - Lieutenant Williams was the choice for the LPD as its mentoring program coordinator since she researched and developed it
 - The LPD uses both “hard data” (retention rates) and “soft data” (surveys) to evaluate the mentoring program by measuring the behavior and perception of participants in the program, although these measures are directed primarily at the protégé

- The LPD refined the program upon evaluation; the LPD found its mentoring program worked so well to address the retention rate problem that it quickly expanded the program to include the communications center personnel

Other policy lessons that do not fit neatly into one of the above program development steps exist in this case study, such as the following.

- Executive leadership gave the LPD mentoring program a chance to succeed, and even though the chief of police had reservations about its potential for success, he gave the go ahead to try it knowing the status quo was not working
- Program leadership was important in the success of the LPD program with Lieutenant Williams being the system designer, implementer, trainer, match maker, evaluator, and problem solver

D. CONCLUSION

The LPD case study shows the long-term impact one person can have on an organization when that individual possesses a solid understanding of the problems and the determination to overcome obstacles to success. Even though this program began 17 years ago, lessons can still be learned from it. The Henrico (Virginia) County Division of Fire Acting Officer program case study in the next chapter had a similar start to the LPD mentor program, one person noting a problem and subsequently making a big impact in the organization with an attempt to correct it. However, the design and implementation of the Henrico Fire program is unlike any other formal mentoring program reviewed for this thesis.

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V. A CASE STUDY OF THE HENRICO COUNTY (VIRGINIA) DIVISION OF FIRE ACTING OFFICER CAREER DEVELOPMENT PROGRAM



Figure 6. Henrico fire patch²¹³

A. DESCRIPTION OF THE PROGRAM

The Henrico Division of Fire has taken a unique approach to leadership development with its acting officer program. Although not specifically intending to create a formal mentoring program, the agency has essentially created a hybrid-mentoring program that systematically prepares members for leadership roles before assuming full responsibility for them. This hybrid system combines mentoring with knowledge testing, classroom instruction, practical exercises, and real world experiences in a progressive sequence. The acting officer program is full of smart practices from which others can learn.

Henrico County, Virginia is a suburban community adjacent to the City of Richmond, the capital of Virginia. It covers 244 square miles and has a population of more than 300,000 people. The County of Henrico Division of Fire (Henrico Fire) handles both fire and rescue calls, and handled more than 41,000 such calls during the

²¹³ Image from Facebook, "Henrico Fire Station 22," April 11, 2014, <https://www.facebook.com/pages/Henrico-Fire-Station-22/112127348816166>.

fiscal year 2013.²¹⁴ Henrico Fire has 540 uniformed members who are all emergency medical technicians (EMTs), with more than 200 members certified in advanced life support (ALS).²¹⁵

Henrico Fire is split into three battalions with 20 fire stations, 20 engine companies, five ladder companies, 14 ALS medic units, and three heavy rescue squads. It has several specialized units for hazardous materials, diving and swift water rescue operations, bike teams, and technical rescue. Henrico Fire also provides fire prevention, education, and investigation services.²¹⁶

1. History and Background

Henrico Fire has implemented a unique program with a hybrid mentoring structure that systematically encourages both informal and formal mentoring known as the acting officer career development program. The current acting officer program was implemented on January 1, 2007, and was a complete revision of a system with the same name based on points for education for members to advance in the agency's career development program.²¹⁷ One of the problems identified with the old system was the lack of a succession planning for upper level management as expressed by Teresa S. Whitaker Duncan, the Henrico Fire Business Manager, while attending the National Fire Academy in 2000.²¹⁸ However, policy action was not taken to change the system until the middle of the decade when concerns with the agency's leadership development methods were raised in a staff meeting. Then Lieutenant Jeffrey "Scotty" Southall was assigned by management to a newly created and unfunded training position, and his engine company position was held open while he was assigned to the training division revising the

²¹⁴ Henrico County Division of Fire, *Henrico County Division of Fire 2013 Annual Report* (Virginia: Henrico County Division of Fire, 2014), 3.

²¹⁵ Ibid.

²¹⁶ Henrico County Division of Fire, *Henrico County Division of Fire Annual Report 2011/2012*, (Virginia: Henrico County Division of Fire, 2013), 2.

²¹⁷ Henrico County Division of Fire, *Career Development Manual* (Virginia: Henrico County Division of Fire, revised March 26, 2010), 2.

²¹⁸ Teresa S. Duncan, *Succession Planning for Fire Chief for the County of Henrico Division of Fire* (Virginia: Henrico County Division of Fire, September 2000).

agency's acting officer program full time.²¹⁹ Lieutenant Southall remained as the acting officer program coordinator until rotating back to operations approximately two years after the program was implemented. Lieutenant Billy Tucker was the second acting officer program coordinator for Henrico Fire.²²⁰ However, Lieutenant Southall remained active in the program as a lead instructor, and he continues to teach the subjects of role of the acting officer, leadership, and communications even after his promotion to captain in March 2013.²²¹

The acting officer program is voluntary for firefighters. However, completion of this program is required to advance to certain ranks within the agency by policy, including advanced firefighter ranks that are discussed later in this chapter. Candidates accepted to the program are assigned to a rating lieutenant and a rating captain to evaluate their performance and coach them through the process.²²² However, it is stressed to the candidates that they are individually responsible for their progression in this process.

2. Department Policy

The rank structure and requirements to advance within Henrico Fire are specified in the agency's career development manual. All newly hired uniformed employees are designated as an entry-level firefighter, also known as Firefighter I. New firefighters remain in this rank through successful completion of the extensive initial training process and a probationary period. Upon completion of training and probation, members are promoted to Firefighter II. Entry-level firefighters are required to reach the rank of Firefighter II before the end of their first year of service.²²³

Within 18 months of service, uniformed firefighters are required to complete successfully the requirements for the rank of Firefighter II/pump operator, which involves

²¹⁹ Captain J. S. Southall, Henrico Division of Fire, interview with the author, May 7, 2014.

²²⁰ Captain J. S. Southall, Henrico Division of Fire, email message to author, May 27, 2014.

²²¹ Facebook, "Henrico County Division of Fire," accessed May 8, 2014, <https://www.facebook.com/HenricoCountyFire>.

²²² Henrico County Division of Fire, *Acting Officer Precepting Manual*, DOF 305, 3.

²²³ Henrico County Division of Fire, *Career Development Manual*, 9–11.

the completion of school and professional qualification standards (including testing) for driver/pump operator. Once at this rank, a member is ready for assignment to a truck or squad company, and any rank achieved above Firefighter II/Pump Operator is voluntary.²²⁴ A firefighter can advance to the position of Firefighter III without participation in the acting officer program, but any higher rank (Senior Firefighter and Career Firefighter) requires completion of the acting officer program first as of July 1, 2011.²²⁵

Agency policy divides the acting officer program into five sections, and a manual is provided to each program participant that contains checklists and relevant materials to each section. The five sections are as follows.

- **General Knowledge**—Candidates respond in writing to a series of questions (designed to be a pre-test) that give the rating supervisors an indication of the individuals' strengths and weaknesses.
- **Standard Operating Guidelines**—The focus of this section is the study of the organization's policies and procedures commonly referred to in real life situations by company officers.
- **Knowledge Development**—This training includes five days of competency-based classroom studies of leadership, instructional techniques, pre-planning, technology, and tactical knowledge and skills, and one day of training at which the students are "in charge" of simulated emergency scenes.
- **Scenario Section**—This section contains 25 days worth of "what if" scenarios designed to test and enhance the candidate's decision making skills and knowledge, with each day's scenarios requiring multiple responses on topics ranging from required paperwork and routine matters to major incidents and potential life or death decisions. These scenarios build on the lessons learned in the sections before them and test the candidate's ability to apply what they have learned in a controlled environment.
- **Practical Evaluation**—Candidates must assume the real life role of acting officer under supervision of a lieutenant or captain. The candidates make real world supervisory decisions for their company for a total of 14 duty

²²⁴ Henrico County Division of Fire, *Career Development Manual*, 11–13.

²²⁵ Henrico County Division of Fire, *Acting Officer Precepting Manual*, DOF 305, 1.

days (24-hour shifts). Candidates are often rotated to the busiest of stations for this duty to increase their exposure to “real experimental situations.”²²⁶

In addition to promotional opportunities, another incentive is available to participate in the acting officer program; those who complete the course receive a 4.8 percent pay raise without a change in rank.²²⁷ Additional responsibilities attach to candidates who complete the program, however, as they may be asked to serve as the acting officer for their company in the absence of a lieutenant or captain.

3. Practical Application

Like many firefighting agencies across the nation, uniformed Henrico Fire personnel work 24-hour shifts. With only a few supervisory positions for each company, it is normal practice for a lieutenant or captain not be present in a particular fire station one or two days a week. On those days, senior and career firefighters serve as the acting officer of their fire station. On those days, the assigned acting officer is in charge and makes true command decisions for the company.²²⁸ However, to ensure firefighters in the organization have both the knowledge and skills necessary for this duty, the current acting officer program was implemented.

The acting officer program generally takes about a year to complete. The checklist in each section must have the completion of each element dated and signed off on by the participant’s assigned lieutenant or captain, but the candidate is responsible for individual progression. The sections of the program are typically completed in sequential order with each section incorporating the lessons from the previous ones. The candidate’s assigned lieutenant or captain completes the daily evaluations. These evaluations include observations of the administrative, leadership, firefighting, and decision-making skills displayed by the candidate and are rated on a number scale.²²⁹ All of the checklists and

²²⁶ Henrico County Division of Fire, *Acting Officer Precepting Manual*, DOF 305, 5.

²²⁷ Captain J. S. Southall, Henrico Division of Fire Acting Officer Program Administrator, email message to author, February 17, 2014.

²²⁸ Chief Anthony E. McDowell, *Henrico Division of Fire Inter-Office Memorandum, Subject of Acting Officer School* (Virginia: Henrico County Division of Fire, October 18, 2013).

²²⁹ Henrico County Division of Fire, *Acting Officer Precepting Manual*, DOF 305, Section V.

evaluations are maintained in a large binder for each student known as the acting officer precepting manual, and upon completion, one member of the training division reviews each candidate’s manual for quality control purposes.²³⁰

Like the LPD, critical thinking is emphasized in the Henrico Fire acting officer program. Chief Anthony McDowell encourages all acting officer students to “integrate your critical decision making skills into the flow of the incident...at all times, not just when you’re riding in charge” in his letter to each program candidate.²³¹

B. EVALUATION RESULTS

Since 2007, 79 members of Henrico Fire have participated in the acting officer program, and 68 of those (86 percent—see Figure 7) completed it.²³²

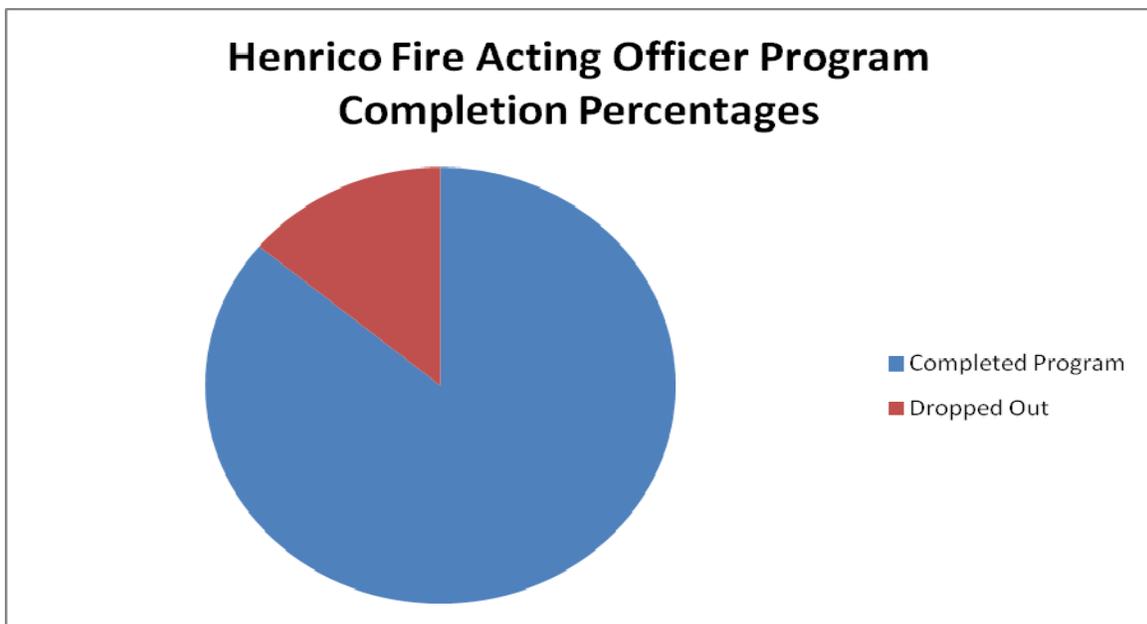


Figure 7. Percentage of participants who completed the Henrico Fire acting officer program after enrolling, 86 percent completed, 14 percent dropped out

²³⁰ Southall, interview, May 7, 2014.

²³¹ Chief Anthony E. McDowell, *Henrico Division of Fire Inter-Office Memorandum, Subject of Acting Officer School*.

²³² Southall, email, February 17, 2014.

These figures do not include the 12 participants who were just beginning the process in February 2014. The rating lieutenants and captains are required by policy to complete daily evaluations of the candidates' performance and to submit final recommendations attesting to their ability to perform as an acting officer at the conclusion of the program. Since those daily evaluations contain personal identifying information, NPS students are precluded from using that data due to academic circumstances beyond their control. However, the 14 percent of participants who do not complete the program are consistent with the initial letter addressed to prospective candidates by then Chief E. W. Smith in 2007, which said,

Ensuring consistency in the absence of the Company Officer, serving as a leader, mentor, coach, and serving as a role model for the other members of shift are just some "hats" that you will be asked to wear. Becoming an Acting Officer is the first step to becoming a leader with the Division of Fire. ...This next step is not for everyone and everyone is not cut out to be a leader, and truthfully that is OK.²³³

Chief Smith's statement considers "The Peter Principle," which is Laurence J. Peter's statement that "in a hierarchy, every person tends to rise to his level of incompetence."²³⁴ In other words, organizations tend to promote the best workers who may or may not be the best supervisors/managers. Employees are eventually promoted to one step above where they perform well, and then they get stuck. Henrico Fire has found a way to avoid the "sink or swim" method of determining if a member is ready to be a company officer (full time and/or acting). Using this process, the agency finds out if candidates are cut out for certain leadership positions before they are given full responsibility for them. It is not too late to go back to the step below if the fit is not right, and the Peter Principle is avoided. This scenario is demonstrated by the fact that as of May 7, 2014, no members of the agency who have completed the acting officer program have had a serious problem issue while serving in the capacity of an acting officer, or had their acting officer status revoked for any reason.²³⁵

²³³ Henrico County Division of Fire, *Acting Officer Precepting Manual*, DOF 305, 2.

²³⁴ Laurence J. Peter and Raymond Hull, *The Peter Principle* (Cutchogue, NY: Buccaneer Books, 1996).

²³⁵ Southall, interview, May 7, 2014.

Knowledge tests are integral to the Henrico Fire acting officer program, and are implemented throughout the yearlong process. The initial knowledge test contains 50 questions that require participants to demonstrate their current level of understanding about firefighting practices, agency procedures, building construction, leadership (including styles of leadership), and administrative procedures.²³⁶ Testing candidates up front identifies strengths and weaknesses early in the process and helps officers customize their approach to each participant. Formal (classroom) and informal (hands on) settings are then employed to impart the specific knowledge base and hone critical thinking skills required to be an officer in Henrico Fire. Next, the series of tabletop scenarios are given, which provides the students an opportunity to apply what they have learned in response to changing conditions. Finally, the students' knowledge is tested through real life experience by performing the duties of an acting officer under supervision, the ultimate test of knowledge, skill, and ability under controlled conditions. The students do not complete the program unless they demonstrate the ability to perform the functions of an officer in Henrico Fire to their assigned lieutenant and captain who then must attest to their ability to be a successful acting officer.

C. ANALYSIS AND IDENTIFIED SMART PRACTICES

Henrico Fire followed the steps identified for creating successful formal mentoring programs in the literature review; specifically, those of evaluating the agency's need for such a program, training participants, and regular evaluation of the program, even if a formal mentoring program was not what the agency initially set out to create.

The Henrico Fire program pairs participants with two different supervisory officers responsible to mentor the acting officer candidate through the process. Granted, many scholarly definitions of a mentor include being at the same rank as the protégé and/or having no direct supervisory authority over them. However, supervisors are often reported by protégés as mentors and studies show supervisory mentoring has much the same impact as traditional mentoring methods even with the direct reporting

²³⁶ Henrico County Division of Fire, *Acting Officer Precepting Manual*, DOF 305, 8–16.

relationship.²³⁷ Another study determined “both mentors and protégés in supervisory relationships expect to provide and receive more transactional obligations than do those in nonsupervisory relationships” and no significant difference was found in the supervisory status of the mentor and the mentoring results.²³⁸ Therefore, using supervisors as mentors does not necessarily change the program’s impact on the protégé.

Under the knowledge development section of the acting officer program, students are taught leadership principles based on the International Fire Service Training Association (IFSTA) company officer manual.²³⁹ Leadership principles, theories, and models are surveyed in detail. For instance, 16 different leadership topics are listed in the Henrico Fire *Acting Officer Precepting Manual* for students to explain to their assigned officers.²⁴⁰ In addition, coaching and mentoring practices are included in this training. For example, some of the sign off requirements for students include explaining the differences between managing, supervising, leading, mentoring, and coaching, explaining the concepts of effective teamwork relating to coaching and mentoring employees, and explaining the importance of good communication skills. This strategy of teaching mentorship is identified as underutilized for employee development.²⁴¹ Program participants are trained about individual learning styles and how different people often learn in different ways. Candidates must also teach a minimum 30-minute fire or EMS-related lesson to their shift incorporating what they learn.²⁴²

Through the topics and methods of leadership training in the acting officer program, the organization is actually encouraging the formation of informal mentoring relationships by program participants after completion and laying out the content, goals, and objectives of those relationships. The primary benefits of this process are not having

²³⁷ Terry A. Scandura and Ethlyn A. Williams, “Mentoring and Transformational Leadership: The Role of Supervisory Career Mentoring,” *Journal of Vocational Behavior* 65 (2004): 448–468.

²³⁸ Haggard and Turban, “The Mentoring Relationship as a Context for Psychological Contract Development,” 1920.

²³⁹ IFSTA, *Fire and Emergency Services Company Officer* (Upper Saddle River, NJ: Prentice Hall, 2012).

²⁴⁰ Henrico County Division of Fire, *Acting Officer Precepting Manual*, DOF 305.

²⁴¹ Colaprete, *Mentoring in the Criminal Justice Professions*, 6.

²⁴² Henrico County Division of Fire, *Acting Officer Precepting Manual*, DOF 305.

to pair the participants—the Achilles heel of formal mentoring programs—and organizational input into the process and content. Evaluation criteria may not be available for the informal mentoring relationships, but to advance in the firefighter ranks requires participation in the acting officer program that does measure knowledge and application skills. This approach is unique to leadership development and is not seen in the other two case studies, or any of the literature reviewed for this thesis.

Systematic support for leadership development and mentoring exists in Henrico Fire outside of the acting officer program with related yearly awards given to firefighters. The Wayne Greenwood Mentorship Award is presented to a firefighter with at least 20 years of service who is recognized as an informal leader in the organization and dedicated to mentoring others.²⁴³ The Michael Holder Leadership Award is presented to a division officer with at least 20 years of service as a career achievement award for displayed formal leadership skills during their service.²⁴⁴

Smart practices identified through the literature review synthesized process of formal mentoring program development from the Henrico Fire acting officer program include the following.

- Conduct an organizational needs assessment
 - A self-assessment was conducted (much like the LPD with primarily one individual through an academic environment) that revealed limitations in the previous Henrico Fire leadership development methods, specifically related to succession planning for upper management positions
- Planning—determine the guidelines, goals and objectives for the program
 - The acting officer program was planned for each of the five sections to build on the previous ones
 - Implementation was on a timeline with flexibility to “grandfather” individuals in who were working to advance under the previous career development system
- Identify participants—both mentors and mentees

²⁴³ Henrico County Division of Fire, *Henrico County Division of Fire 2013 Annual Report*, 25.

²⁴⁴ *Ibid.*

- Participation is voluntary, but rewarded, financially and with upward mobility opportunities
- Train participants
 - Scenario-based training allows candidates to demonstrate their ability to apply knowledge in a controlled setting, but do not take the place of real world experience with 14 days of acting as the company officer
 - Participants are encouraged to mentor and coach other firefighters, taught what is involved in those processes including communications skills and different learning and leadership styles, and provided the work related content to be effective based on the organization's objectives
 - Participants are trained about how others learn, leadership, coaching, and mentoring in addition to learning to master firefighting skills and agency policy to provide the graduates the foundation to mentor others based on what the organization instilled in them through the acting officer program and could be the beginning of a perpetuating loop of leadership development for Henrico Fire
 - Pair the participants
 - Participants are paired by assignment of a supervising lieutenant and captain, which is outside the normal association of mentors being at the same rank or status as the protégé.
 - Monitor, evaluate, and refine the program
 - Knowledge of candidates is evaluated at the beginning of the program and officers assigned to individual candidates are then able to concentrate on areas of weakness
 - Knowledge is systematically evaluated by the design of the program for retention, application, analysis, and synthesis by the student to include real world situations eventually
 - Daily evaluations are completed on each program candidate by the assigned lieutenant or captain

Other policy lessons that do not fit neatly into one of the above program development steps exist in this case study, such as the following.

- Protégés experience what it is like to supervise before they are actually held responsible to supervise to provide the protégé an opportunity to learn the job before jeopardy attaches and the agency the opportunity to

assess the protégés' ability to perform as a supervisor before actually promoting the individuals

- The program has strong support from the top, as both fire chiefs of Henrico Fire since initiation of the program have included a letter to candidates in the program manual with candid and personal thoughts

D. CONCLUSION

Henrico Fire has found a way to develop coaches and mentors that is different from the approach of almost any other homeland security related agency. By intentionally training participants in this program on expected leadership principles of the agency, how to teach others, testing participants abilities to make critical decisions in both theoretical and real life situations, and pairing them with supervisors to assist with their training and development, this agency has created what amounts to a formal mentoring program that strongly encourages the formation of informal mentoring relationships within the agency by the participants upon their completion of the program.

A second benefit to this approach is the ability to evaluate the performance of prospective officers before they are promoted into officer positions. Conversely, candidates can self-assess their desire to seek an officer position after gaining an understanding of exactly what the position entails. Both factors greatly reduce (if not completely eliminate) the chances of the agency promoting a member to an officer position who is not ready to handle the job, since participants have already had to demonstrate that ability to complete the program.

Formal mentoring was chosen as a method to address problem issues for the CHP, the LPD, and Henrico Fire, but how does an agency determine if a formal mentoring program has the potential to address some of their specific problems? The next chapter attempts to answer this question and explores mentoring program policy alternatives using lessons from the three case studies and literature research.

VI. POLICY ANALYSIS AND FINDINGS

This chapter examines how to determine if an agency can benefit from a formal mentoring program, the policy options for establishing a mentoring program identified in the case studies. It also explains the challenges and tradeoffs of formal mentoring programs to help leadership make an informed decision, and discusses the criteria necessary to set an initial baseline for the agency and to evaluate the impact of a formal mentoring program. Making the decision to implement a formal mentoring program (or not) begins with an agency self-assessment.

A. AN AGENCY SELF-ASSESSMENT COMES FIRST

Before deciding on a mentoring policy, the literature review and the three case studies unanimously support an agency self-assessment. A self-assessment is a critical look—using critical thinking principles of understanding all the options, making a decision while being aware of personal bias, and being able to explain why—at the agency itself to answer the following questions.

- What needs to be improved and can formal mentoring help improve it? (Does the organization experience problem issues that formal mentoring can help address, such as high turnover, a lack of diversity, skill and knowledge limitations, and a need for succession planning or leadership development?)
- Does the organization have support for a mentoring program? (leadership, infrastructure, attitude, time, and funds)
- What are the goals and objectives? (What does success look like?)
- Does a formal mentoring program fit into existing human resource development strategies and the way the organization normally works?
- Who is going to administer the program? (Who will set it up and run it?)²⁴⁵

What was successful for other organizations may not be what a particular agency needs, as the problems it was designed to address may have been different. For example,

²⁴⁵ Allen, Finkelstein, and Poteet, *Designing Workplace Mentoring Programs*, 11–22.

the LPD initially set out to improve the retention rates of newly hired sworn officers and speed up the transfer of knowledge to a major influx of new officers with little experience. However, Henrico Fire wanted to teach experienced firefighters how to be better leaders before they were placed into leadership positions since the education points system it had was not as effective as desired. The problems were different and involved different subgroups within the two organizations. Therefore, the program designs were different as evidenced in the previous case studies. In short, when implementing a formal mentoring program to address a problem issue, an agency has to understand the problem before attempting to solve it, and then build the program to address what needs to change.

B. THE ALTERNATIVES

While not meant to replace informal mentoring completely, formal mentoring programs may allow organizations to impart complex skills strategically, such as critical thinking and non-traditional collaboration (outside of their own area of expertise) on mentees.²⁴⁶ However, no “one size fits all” method exists for implementing a formal mentoring program; instead, each organization must decide what practices fit within its organizational culture.²⁴⁷ The selection process is made more difficult by the fact that relatively few homeland security agencies have a formal mentoring program for leadership development in place for review when compared to the business and educational fields.²⁴⁸

Three primary alternatives to be considered by homeland security agencies were developed from the research for this thesis regarding formal mentoring programs. They are full implementation (all employees), partial implementation (some employees), and maintenance of the status quo (no implementation). It is important to understand that neither of the first two policy options explained as follows is intended to replace informal

²⁴⁶ Hansman et al., “Critical Perspectives on Mentoring,” 20.

²⁴⁷ Allen, Finkelstein, and Poteet, *Designing Workplace Mentoring Programs*.

²⁴⁸ Hansman et al., “Critical Perspectives on Mentoring,” 24.

mentoring relationships that spontaneously occur in organizations, but to enhance them.²⁴⁹

1. Policy A—Full Implementation of Formal Mentoring Programs—All Employees

The CHP coaching/mentoring program is an example of a full implementation policy for a formal mentoring program as participation is mandatory for both sworn and civilian personnel. Positive aspects of this policy option include equal treatment of all employees and the potential for the maximum level of effectiveness that a formal mentoring program could offer, but success is not guaranteed just because of participation.²⁵⁰ Participants must be dedicated to the program for success, which can be enhanced with “strong organizational support.”²⁵¹

Some homeland security agencies (particularly in law enforcement and the fire service) have what could be considered a formal mentoring process commonly known as field training officer (FTO) programs as part of their initial training process. The San Jose (California) Police Department implemented an FTO program in 1971 to bridge the gap between classroom training and fieldwork by pairing a veteran officer with a new officer for training and mentoring purposes in a structured environment.²⁵² The “San Jose Model” FTO program was made standard for California law enforcement agencies by the state legislature in 1974 and it is still popular today in law enforcement for helping new officers adjust to the demands of police work.²⁵³ The sustained popularity of FTO programs are a testament to the effectiveness of mentoring, but FTO programs are

²⁴⁹ Ragins and Cotton, “Mentor Functions and Outcomes: A Comparison of Men and Women in Formal and Informal Mentoring Relationships,” 546.

²⁵⁰ W. Brad Johnson and Gene R. Andersen, “Formal Mentoring in the U.S. Military: Research Evidence, Lingering Questions, and Recommendations,” *Naval War College Review* 63, no. 2 (Spring 2010): 120, https://www.google.com/?gws_rd=ssl#q=formal+mentoring+in+the+us+military.

²⁵¹ Chao, “Formal Mentoring,” 319.

²⁵² San Jose Police, “San Jose Police Department,” accessed July 26, 2014, <http://www.sjpd.org/>.

²⁵³ *Ibid.*

normally just for new employees and are usually just one to 12 weeks in duration.²⁵⁴ An expansion of the FTO concept to mentor all newly promoted (or soon to be promoted) employees formally would be one example of how homeland security agencies could implement this policy option.

Costs of training participants, program evaluation, and implementation would be highest with this option (of the three proposed) simply because of logistics, the more participants, the more that is spent on training and implementation costs. However, costs are still moderate as larger agencies like the CHP that has its own certified instructors, and personnel department could mitigate program training and evaluation costs by conducting these activities in house or on-line.

However, studies show that mentoring programs requiring mandatory participation are not as effective as voluntary ones due to the motivation and commitment required to make the mentoring relationship work.²⁵⁵ In addition, not all employees have the ability to be a good mentor, and poor mentors can defeat good planning.²⁵⁶ The individuals who do have good mentoring skills may be overtaxed if precautions are not in place.²⁵⁷ Organizations wishing to adopt full implementation of formal mentoring program have the most implementation hazards to avoid of the three policy options, and must have a comprehensive strategy to reduce risk when planning. For this reason, the CHP took four years to plan, evaluate, and refine its strategy before implementing its mandatory mentoring program.

²⁵⁴ Steven Pitts, Ronald W. Glensor, and Kenneth J. Peak, "The Police Training Officer (PTO) Program: A Contemporary Approach to Postacademy Recruit Training," *The Police Chief* 74, no. 8 (August 2007), http://www.policchiefmagazine.org/magazine/index.cfm?fuseaction=display_arch&article_id=1247&issue_id=82007

²⁵⁵ Chao, "Formal Mentoring," 319.

²⁵⁶ Hansman et al., "Critical Perspectives on Mentoring," 25, 54.

²⁵⁷ Ehrich and Hansford, "Mentoring: Pros and Cons for HRM," 104.

2. Policy B—Partial Implementation of a Formal Mentoring Program— For Some Employees

Under this policy option, individual organizations and/or the participants themselves would decide who would participate in formal mentoring. The Henrico Fire acting officer program and LPD mentoring program both fall under this policy option since their programs are optional. Multiple studies cited in the first chapter of this thesis conclude voluntary participation in mentoring programs yield more positive results than mandatory participation. For the purposes of this policy option, voluntary participation is considered partial implementation of a mentoring program even though it may be available to all employees.

Having fewer participants would mean less required training, evaluation, and implementation costs, but also fewer (and potentially less than equal) opportunities for employees to benefit from the program. The primary advantage of this option is flexibility. Organizations have the ability to tailor the program to their individual needs and circumstances, such as their size, available resources, or problems with a specific group like the personnel retention issues LPD addressed with new officers and communications personnel.

3. Policy C—Maintenance of the Status Quo of Informal Mentoring Relationships—Only Utilize Informal Mentoring Relationships

Since maintenance of the status quo requires no action, the third option is the easiest to adopt. It is also the most difficult policy of the three for measuring its effectiveness since any evaluation would have to begin with identifying the participants. Traditional informal mentorship practice has been shown to be “highly selective and elitist by nature.”²⁵⁸ Not implementing a formal mentoring program has no initial direct expense, but this option may result in expenses later if future homeland security leaders are not as prepared as they could have been to make critical decisions.

The problems with relying solely on informal mentoring have been documented in the first two chapters of this thesis including no organizational input into the quality or

²⁵⁸ Ehrich and Hansford, “Mentoring: Pros and Cons for HRM,” 3.

quantity of the relationship, potential shortcomings in leadership development, and generational gaps. Nevertheless, informal mentoring still has a place within homeland security agencies for developing future leaders. The reasoning behind this seemingly contradictory statement is that by implementing one of the two options above, informal mentoring relationships would still occur naturally in the organization and the formal program should actually help encourage more informal mentoring relationships.²⁵⁹ The difference with these types of informal mentoring relationships is that those who were formally mentored may transfer some of the organizationally structured lessons and content to informal protégés, and perpetuate a mentoring cycle initiated formally.

Is the status quo of informal mentoring working in a particular organization? This question may not be easy to answer without asking some other questions. How long does it take a new first line supervisor to understand the responsibilities of leadership in the organization? Are women and minorities appropriately represented (consistent with the percentages that comprise the agency) in leadership positions? Are other members of the organization ready to take over critical leadership positions right now? Is the personnel turnover rate excessive?

It takes an objective evaluation by each individual agency to determine which policy option would be most effective for its specific goals and objectives. Without this type of assessment, it is not possible to ascertain which mentoring policy option is a better method for developing future leaders. After understanding all three of the policy options available, it is up to each homeland security organization to decide which one is right for it. The criteria for that assessment discussed in this thesis are displayed for each policy option in Table 3 for easy comparison.

²⁵⁹ Ragins and Cotton, "Mentor Functions and Outcomes: A Comparison of Men and Women in Formal and Informal Mentoring Relationships," 546.

Policy Option	Pros	Cons
A—Full Implementation of Formal Mentoring (Mandatory for all)	<ul style="list-style-type: none"> • Equal Access for All • Addresses All Cons of Informal Mentoring • Maximum Program Impact • Program Costs are Moderate • Should Support and Enhance Informal Mentoring Relationships 	<ul style="list-style-type: none"> • Not as Effective as Voluntary Programs • Highest Cost of the Three Options • Participation Does not Guarantee Success
B—Partial Implementation of Formal Mentoring	<ul style="list-style-type: none"> • Addresses All Cons of Informal Mentoring • Flexible • Costs Less than Full Program Implementation • Voluntary Participation Yields the Most Positive Results • Should Support and Enhance Informal Mentoring Relationships 	<ul style="list-style-type: none"> • Moderate Costs to Design and Implement • May Exclude Personnel who Would Benefit from Participation
C—Status Quo of Informal Mentoring	<ul style="list-style-type: none"> • No Visible Expense • Requires no Action 	<ul style="list-style-type: none"> • May Have to Pay Later • Does not Allow Organizational Input • Excludes Underrepresented Groups • May not Close Generational Gaps • May not Provide Adequate Leadership Development in a Rapidly Changing, Complex, and Global Environment

Table 3. Formal mentoring policy pros and cons

The criteria for judging the success of mentoring also starts with an initial assessment that serves as a benchmark evaluation that can be conducted by the organization’s personnel department, training department, a selected committee or work

group, and/or surveys of employees.²⁶⁰ However, prior to making a decision on the policy options, an understanding of the challenges and tradeoffs of formal mentoring programs is necessary.

C. CHALLENGES AND TRADEOFFS FOR FORMAL MENTORING PROGRAMS

1. Organizational Culture

Organizational culture is “the system of beliefs, attitudes, values, and behaviors that is shared by all organizational members and integrates its processes,” and is commonly referred to as “the way we do things around here.”²⁶¹ That culture can be different in organizations within disciplines with the same basic responsibilities, and leadership, technology, economic factors, and organizational structure influence it.²⁶²

The International Association of Chiefs of Police (IACP) cited formal mentoring programs as a best practice for smaller police agencies (serving populations of under 25,000 people with less than 25 officers) to attract and retain personnel and to increase job satisfaction.²⁶³ The IACP followed up this recommendation by creating a mentoring program for new police chiefs with less than three years experience as chief in smaller organizations (serving a population of less than 50,000) that is conducted nationwide without charge.²⁶⁴

Smaller agencies appear to have the most challenges with the full implementation policy option, as having fewer personnel reduces the available mentor pairing options and raises the cost per participant. Leveraging more than one discipline within a jurisdiction (fire, emergency medical services, police, etc.) or collaborating with a larger agency in the same discipline (a local police agency participating with its state police) in a

²⁶⁰ United States Office of Personnel Management, *Best Practices*, 6.

²⁶¹ Klasen and Clutterbuck, *Implementing Mentoring Schemes*, 87.

²⁶² *Ibid.*

²⁶³ McKeever and Kranda, “Recruitment & Retention of Qualified Police Personnel: A Best Practices Guide,” 12.

²⁶⁴ International Association of Chiefs of Police, “New Police Chief Mentoring,” accessed July 12, 2014, <http://www.theiacp.org/New-Police-Chief-Mentoring>.

combined mentoring program would reduce the cost per participant, but would dilute the individual agency's ability to transfer its individual organizational culture to participants and to set the specific goals and objectives of the program it specifically needs to address to be successful.

Even large organizations can have issues with organizational culture and mentoring. The CHP is a huge agency with diverse responsibilities and has an enormous area of responsibility. Mentee surveys reflected challenges with scheduling time to meet and interact as the primary concern.²⁶⁵ If an agency the size of the CHP has these issues, it is likely that other organizations attempting to implement a mandatory agency wide mentoring program will experience similar challenges.

2. Conditions Required for Program Success

The case studies revealed several potential obstacles that were addressed when they arose or were anticipated in the planning stages and accounted for. These potential obstacles include collective bargaining organizations, leadership support, logistics, and employee buy in. Some states like Virginia have “right to work laws” that weaken the strength of collective bargaining organizations, but their impact on the program still needs to be considered.²⁶⁶ Lieutenant Williams cited earning the support of the police union as critical to the success of the LPD mentoring program.²⁶⁷ She knew failing to obtain union support would have killed the program before it began, and the strength of the union negatively impacted her chief's enthusiasm for the mentor program's potential in the planning stages.²⁶⁸

Leadership support for a mentoring program was shown in all three case studies. In each case, the organization had specific problem issues identified through a self-assessment and specifically developed a mentoring program to address those problems.

²⁶⁵ California Highway Patrol, *Mentee Survey Response Data*.

²⁶⁶ Virginia.gov, “Labor and Employment Law—Cont.), *The Virginia Department of Labor and Industry*, accessed July 15, 2014, http://www.doli.virginia.gov/laborlaw/laborlaw_p2.html.

²⁶⁷ Lansing Police Department, *Report to United States Department of Justice Law Enforcement “Best Practices” Project*.

²⁶⁸ *Ibid.*

The perceived problem issues came before the leadership support in all three cases, leadership development for the CHP and Henrico Fire, and poor retention rates for new officers at the LPD. However, it was not necessarily the executive staff of the agency that initially recognized a change was necessary and then searched for a potential solution. In two of the three case studies (LPD and Henrico Fire), a mid-level management employee played a major role in identifying agency weaknesses and developing a mentoring program as a way to improve on those weaknesses. However, without the support from the upper levels of agency leadership, successful development and implementation of a mentoring program is almost impossible.²⁶⁹ When employees perceive the organization supports a mentoring program, participation rates are higher.²⁷⁰

The necessary leadership for a successful mentoring program is not all at the top of the organization. The idea to implement a mentoring program came from one individual within the LPD and Henrico Fire, and was adopted by the agency head and implemented. The program coordinators in all three case studies were dedicated to the mentoring program and motivated, and their efforts indicate key leadership support for a mentoring program also comes from different levels within the organization. Having a succession plan when it is time to replace a committed mentoring program coordinator with another who has the knowledge, skill, and abilities can avoid atrophy of the program.

3. Training Requirements

Training is necessary for participants in a formal mentoring program to provide clear roles and expectations, and training has the potential to influence commitment and motivation.²⁷¹ Participant orientation and training often ranges between four to eight hours.²⁷² Therefore, training requirements are minimal, but they are critical and should be

²⁶⁹ Rochelle Broder-Singer, "Why Mentoring Matters," University of Miami School of Business Administration, *BusinessMiami*, Fall 2011, http://bus.miami.edu/magazine/fall2011/features/mentoring_matters.html.

²⁷⁰ Workplace Gender and Equality Agency, "Training and Development: Establish and Maintain Effective Mentoring Programs."

²⁷¹ Chao, "Formal Mentoring," 319.

²⁷² United States Office of Personnel Management, *Best Practices*, 10.

taken seriously by the agency. Providing clear roles and expectations of both the participants and the organization at the onset of the program can help avoid misinterpretation that can subsequently lead to problems with trust and a perceived lack of organizational support.²⁷³

Each agency in the three case studies carefully designed its own training program consistent with its goals and objectives, and conducted that training in house. The CHP and LPD also put their goals and objectives for the mentor, mentee, and organization into policy, and Henrico Fire heavily incorporated training into the acting officer program to accomplish its set goals and objectives. However, not every agency has the resources or personnel to accomplish this task alone. Combining resources with other agencies may help overcome this challenge.

4. Establishing Inter-Personal Relationships

Unlike informal mentoring relationships that form naturally over time, a process must be implemented to pair participants intentionally in a formal mentoring program.²⁷⁴ Study data reveals the relationship between mentor and protégé is key to the success of mentoring, and the quality of the relationship has more effect on work performance and attitude than the program design and type of mentoring process (formal or informal).²⁷⁵ Attempting to establish inter-personal relationships intentionally and successfully between employees is not easy, and potential problems include jealousy, anxiety in participants, and overemphasis of one relationship.²⁷⁶ However, mentoring interpersonal relationships sometimes go wrong, regardless if the mentoring is formal or informal.²⁷⁷

²⁷³ Young and Perrewé, "The Role of Expectations in the Mentoring Exchange: An Analysis of Mentor and Protege Expectations in Relation to Perceived Support," 120.

²⁷⁴ Johnson and Andersen, "Formal Mentoring in the U.S. Military," 116.

²⁷⁵ Shona Welsh, *Mentoring the Future: A Guide to Building Mentor Programs That Work* (Canada: Global Book Publisher Canada, 2004), 26.

²⁷⁶ Greenhaus, Callanan, and Godshalk, *Career Management*, 213.

²⁷⁷ Welsh, *Mentoring the Future*, 26.

The pairing process in a formal mentoring program is extremely important to the success of the program.²⁷⁸ Factors that contribute to a higher probability of pairing success include drawing from a large and diverse mentor pool, surveying for specific strengths of mentors and weaknesses of mentees, comprehend individual priorities in pairing criteria, and participants reviewing potential matches.²⁷⁹ Each of the three case studies paired program participants in their formal mentoring programs a different way. The CHP leaves the decision to the division commander with policy guiding the selection criteria to consider.²⁸⁰ Henrico Fire assigns each participant to a supervising lieutenant and captain.²⁸¹ The LPD surveys each mentor and mentee for both personal and professional information and then pairs participants by the best match.²⁸² Other pairing methods in addition to these three methods do exist. For instance, some programs allow the protégés to select the mentor they would like to have or assign more than one mentor to a protégé.²⁸³ Having options in the pairing process is important to find the right fit for their specific needs. For instance, the in depth survey process that works well for the LPD would be logistically impossible for the CHP as the best pairing match may be officers who work on opposite ends of the state.

While promoting diversity is a benefit of formal mentoring programs, cross-gender mentoring relationships have the additional hurdles of social taboos and suspicions close relationships can bring.²⁸⁴ The LPD was the only case study to address this issue in policy by prohibiting romantic or sexual relationships between mentoring partners.²⁸⁵

²⁷⁸ Chao, “Formal Mentoring,” 318.

²⁷⁹ Chao, “Formal Mentoring,” 318.

²⁸⁰ California Highway Patrol, “HPM 70.13,” 5–3.

²⁸¹ Henrico County Division of Fire, *Acting Officer Precepting Manual*, DOF 305, 3.

²⁸² Lansing Police Department, *Report to United States Department of Justice Law Enforcement “Best Practices” Project*.

²⁸³ United States Office of Personnel Management, *Best Practices*, 15.

²⁸⁴ Hansman et al., “Critical Perspectives on Mentoring,” 17.

²⁸⁵ Lansing Police Department, “Police Department Mentor Guidelines.”

5. Program Costs

While informal mentoring has no visible costs associated with it (informal mentoring still requires time to mentor), formal mentoring programs do. Planning and implementation of a formal mentoring program results in time spent away from other duties to meet program expectations, such as attending planning sessions, writing policy, training, and conducting mentoring meetings. The lack of structured time to meet was the primary complaint of mentees in the CHP mentee surveys.²⁸⁶ Some monetary expenses are controlled by the agency. For example, Henrico Fire rewards those who complete the acting officer program with a 4.8 percent pay raise,²⁸⁷ but the LPD intentionally avoided additional monetary compensation for its program participants.²⁸⁸ However, mentoring can be cost effective with respect to operating the program with the personnel the organization already has and not requiring excessive time away from work.²⁸⁹ Therefore, a commitment of both money and time is necessary for program success.

The CHP invested a tremendous amount of time and effort into its program over several years before it was even implemented. The CHP conducted agency wide surveys to identify the leadership development issues, held command staff meetings to decide how to address the problem, and planning meetings with three separate focus groups to design the mentor program, established the Office of Organizational Development to oversee the program, developed related agency policy and on-line training programs, and created evaluation materials.²⁹⁰ While no monetary figures for these efforts by the CHP are available, it is a substantial investment when considering the man-hours needed to develop and implement the CHP coaching and mentoring program. Learning lessons from the CHP model should help reduce the time and effort the planning process requires of others.

²⁸⁶ California Highway Patrol, *Mentee Survey Response Data*.

²⁸⁷ Southall, email, February 17, 2014.

²⁸⁸ Lansing Police Department, *Report to United States Department of Justice Law Enforcement "Best Practices" Project*.

²⁸⁹ Owen, *The Complete Guide to Mentoring*, 4.

²⁹⁰ California Highway Patrol, *Coaching/Mentoring Program Progress Report*.

The case studies show the LPD and Henrico Fire developed and implemented their formal mentoring programs with the initial coordinator doing almost all the work, and thus, program development was less costly for those two agencies than for the CHP. However, a monetary impact was still felt, and leadership has to decide if the potential benefits are worth the program costs.²⁹¹ Although no monetary figures are available for the cost of LPD's mentor program, the success with improving the retention rates of new employees appears to have offset a portion (if not all) of the mentoring program expenses since it cost \$48,838 for the LPD to hire and train each new officer.²⁹² The Henrico Fire acting officer program's measures are not as easily quantified, but program value is not always in dollars. The realization that acting officers can be entrusted on a weekly basis to fill in for a lieutenant or captain as a supervisor, and the fact that no individuals who have completed the acting officer program have had their status to serve in that capacity revoked for any reason, speaks to the value of the program.²⁹³

6. Program Evaluation

Program evaluation is an important and ongoing process for any formal mentoring program.²⁹⁴ The criteria for judging program success described in the following section demonstrates how to evaluate program effectiveness. Understanding what is or is not working is important as it allows for program expansion, as the LPD did with the communications personnel when retention rates of new sworn employees drastically improved. Evaluation also allows for adjustment when a program element or mentor pairing is not working as expected, which is a primary reason the CHP assigns coaches to its mentorship pairings. Evaluation also has a cost element as man-hours are invested by participants and program coordinators to prepare and conduct surveys and evaluate data collected.

²⁹¹ Ehrlich and Hansford, "Mentoring: Pros and Cons for HRM," 103.

²⁹² Lansing Police Department, *Report to United States Department of Justice Law Enforcement "Best Practices" Project*.

²⁹³ Southall, interview, May 7, 2014.

²⁹⁴ Allen, Finkelstein, and Poteet, *Designing Workplace Mentoring Programs*, 89.

D. CRITERIA FOR JUDGING PROGRAM SUCCESS

Mentoring is intended to impart knowledge and skill, retain employees, and eventually, shape agency leadership.²⁹⁵ For an organization to understand if a mentoring program is meeting its goals and objectives, criteria to judge success need to be available. Knowledge, perception, and behavior can be used to measure both the organizational culture of an agency and the success of training.²⁹⁶

The selected criteria were chosen because the organizations in the three case studies measured knowledge, perceptions, or behavior of protégés (no one agency measured all three) to evaluate their mentoring programs as described later in this section. Prior to implementation of any policy change regarding formal mentoring, agencies should consider setting a baseline for the criteria of knowledge to compare results later in the program, but behavior changes take longer to occur (usually six months or more) and should normally be measured during or at the end of the program.²⁹⁷ The frequency of evaluations is determined by the needs of the agency.

Knowledge—Do people know what [the organization’s] values are and can they recognize when behavior and decision making is consistent with those values?

Perceptions—Opinions about what are the real values and culture of the company. [Survey] questions should focus on identifying what the real values and priorities are versus what is stated.

Behavior—Incidents of good and bad decisions and employee behavior related to the values.²⁹⁸

²⁹⁵ Allen, Finkelstein, and Poteet, *Designing Workplace Mentoring Programs*.

²⁹⁶ Mark Graham Brown, “How to Measure a Company’s Most Elusive Element: Culture,” *Business Finance*, October 3, 2011; Donald P. Ely and Tj Plomp, *Classic Writings on Instructional Technology* (Santa Barbara, CA: Libraries Unlimited, 1996), 119.

²⁹⁷ Allen, Finkelstein, and Poteet, *Designing Workplace Mentoring Programs*, 99–100.

²⁹⁸ *Ibid.*

a. Knowledge

Improvements in the knowledge and skill level of mentees through job performance are a quantitative (numerically based) measure of program success.²⁹⁹ A knowledge and situational test (given to mentees at a minimum of before and after participation in the program) is one method to evaluate mentoring program effectiveness. This method could be problematic for informal mentoring as participants would be self-reported (and potentially underreported) to the organization before any type of knowledge evaluation could be conducted. The Henrico Fire acting officer program incorporates knowledge testing in the initial phase that sets a benchmark for further instruction.³⁰⁰

b. Perceptions

Mentoring participants and supervisors of mentees can be surveyed to gather qualitative data, things that can be observed but not easily put into specific measure, such as “what worked well” or “how to make the program better.”³⁰¹ Qualitative data determines the perceived effectiveness of the policy options, and if the strategic practices of the program’s implementation are meeting agency and participant expectations.³⁰² Participant expectations are correlated to perceived organizational support and positive outcomes in mentoring programs.³⁰³ While these surveys are subjective in nature, they can provide the organization a consensus of employee opinion about the program. The CHP coaching and mentoring program mandatory participant surveys are an example of a perception evaluation measure.³⁰⁴

²⁹⁹ Ibid., 91.

³⁰⁰ Henrico County Division of Fire, *Acting Officer Precepting Manual*, DOF 305, 5.

³⁰¹ Allen, Finkelstein, and Poteet, *Designing Workplace Mentoring Programs*, 91.

³⁰² Young and Perrewé, “The Role of Expectations in the Mentoring Exchange: An Analysis of Mentor and Protege Expectations in Relation to Perceived Support,” 109.

³⁰³ Ibid., 120.

³⁰⁴ California Highway Patrol, *Coaching/Mentoring Program Mentee Survey* (California: California Highway Patrol, 2010).

c. Behavior

Behavioral measures are important for understanding if the lessons learned from mentoring are being applied at work.³⁰⁵ The LPD's evaluation of retention rates of new employees is one example of a quantitative behavioral measure.³⁰⁶ The Henrico Fire acting officer program's knowledge application tests with written scenarios and real world experience as an acting supervisor have both quantitative and qualitative components to measure the behavior of participants.³⁰⁷ Other behavioral measures homeland security agencies may already be capturing include individual performance through personnel evaluations or decision making through the number of formal and informal disciplinary actions against employees and commendations.

The criteria of knowledge, perception, and behavior are strikingly similar to Kirkpatrick's four levels of training program evaluation, which are reaction, learning, behavior, and business results.³⁰⁸ In fact, if the word reaction was used instead of perception in the aforementioned definition, nothing would change.³⁰⁹ The same is true for learning and knowledge, and behavior even uses the same term.³¹⁰ What is different is the last element, business results. Since this thesis targets government agencies with homeland security responsibilities, which do not measure success in terms of profit margins or production, and to keep the evaluation process as simple as possible, the last element was not included. Nonetheless, it could be argued that in a public organization "business results" may be measured in improvements to the problem issues identified in the agency self-assessment. The overall program results in the LPD case study supports

³⁰⁵ Allen, Finkelstein, and Poteet, *Designing Workplace Mentoring Programs*, 93.

³⁰⁶ Lansing Police Department, *Report to United States Department of Justice Law Enforcement "Best Practices" Project*.

³⁰⁷ Henrico County Division of Fire, *Acting Officer Precepting Manual*, DOF 305, 5.

³⁰⁸ Ely and Plomp, *Classic Writings on Instructional Technology*, 119.

³⁰⁹ Allen, Finkelstein, and Poteet, *Designing Workplace Mentoring Programs*, 92.

³¹⁰ *Ibid.*, 93.

this argument as retention rates of new employees improved for both sworn police officers and communications personnel.³¹¹

E. CONCLUSION

Homeland security organizations have three primary choices when it comes to the implementation of a formal mentoring program: full implementation, partial implementation, and maintaining the status quo (no implementation). However, leadership must consider the individual needs and limitations of the agency itself before deciding which option to choose. Challenges and tradeoffs to the program are important considerations to explore and address prior to the implementation of a formal mentoring program. A decision to implement a formal mentoring program (option A or B) necessitates a means to evaluate the program for success. Results can be measured by examining changes in the knowledge, perceptions, and/or behavior of the program participants.

After conducting the agency self-assessment, weighing the challenges and tradeoffs, selecting a policy option that involves formal mentoring, and selecting evaluation criteria for success, an organization begins the planning process for a formal mentoring program. The lessons learned from other homeland security agencies that have established formal mentoring programs can help with the planning process. The smart practices for formal mentoring programs identified in this thesis are compiled in the final chapter along with the finding limitations.

³¹¹ Lansing Police Department, *Report to United States Department of Justice Law Enforcement “Best Practices” Project*.

VII. CONCLUSIONS AND RECOMMENDATIONS

A. ANSWER THE RESEARCH QUESTION

This thesis set out to answer the question, “Is the establishment of a formal mentoring program a smart practice for homeland security agencies to develop future leaders?” The answer appears to be, it depends on the individual agency. The evidence indicates formal mentoring programs have numerous benefits, but they are not without some costs and risks. It appears the most important question to answer is; “Can a formal mentoring program better prepare future leaders in this homeland security organization?” If the answer is yes, as it was for the three organizations in the case studies, then the smart practices identified as follows should help the agency with the process of developing a formal mentoring program. Understanding now that each individual agency must assess its own problem issues and determine if a formal mentoring program will address them, how many organizations must adopt formal mentoring as a preferred leadership development strategy to impact homeland security as a whole? The answer to this question may depend on the size of the agencies, but each one (large and small) has an impact, particularly, if their program is successful and is subsequently adopted by others because of that success.

B. IDENTIFIED SMART PRACTICES OF (AND SMART POLICIES FOR) FORMAL MENTORING PROGRAMS IN ORGANIZATIONS WITH HOMELAND SECURITY RESPONSIBILITIES

The literature review in Chapter I revealed six steps for the development of a successful formal mentoring program. The steps in this process are listed in order, but the process is circular instead of linear as the last step leads back to the first in which changes can be made, and the cycle begins again. Based on these steps, the smart practices (ideas behind practices to “take advantage” of opportunities present in a particular situation³¹²) identified in this thesis are compiled as follows. However, due to the independent

³¹² Bardach, *A Practical Guide for Policy Analysis*, 110.

organizational culture and needs of other agencies, it is up to the reader to decide if they apply to a particular organization. This list provides a starting point for that assessment.

- Conduct an organizational needs assessment
 - Select personnel (a focus group or an individual) to identify specifically the problem issues the organization needs to address. For example, the California Highway Patrol surveyed its entire command staff in 2005. That survey revealed leadership development was a problem issue for the organization.³¹³ However, one person accomplished this task in the other two case studies.
 - Determine if a formal mentoring program would be an effective tool to address the problem issues. (Research for this thesis indicates formal mentoring can address knowledge gaps, improve employee retention, help close generational gaps, improve diversity, and help with succession planning and leadership development)
- Planning—determine the guidelines, goals and objectives for the program
 - If the decision is made to develop a formal mentoring program, plan the program around the specific problem issues to be addressed. For instance, the Lansing Police Department structured its mentor program to transfer organizational knowledge to new employees and to provide psychosocial support after identifying a lack of technical knowledge and skills, and a need for more diversity as problem issues.³¹⁴
 - Anticipate potential obstacles to the program in the planning process and take measures to counter those obstacles. (Examples could include union opposition, logistics, or a lack of necessary leadership support)
 - Define the goals and objectives of the program. What does success look like? The answer can be as simple as having competent leaders to fill key roles in the organization when needed, as was the case for both Henrico Fire and the CHP.
 - Design the program to build upon lessons learned and application to real life. Henrico Fire did so with a 5-step process—general knowledge, standard operating guidelines, knowledge development, scenario section, and practical evaluation—in written

³¹³ California Highway Patrol, *Internal Working Documents for the Mentoring-Coaching Plan*.

³¹⁴ Lansing Police Department, *Report to United States Department of Justice Law Enforcement “Best Practices” Project*.

form with the *Acting Officer Precepting Manual*.³¹⁵ (See Chapter V)

- Define the roles of participants and set organizational expectations for each role. For example, the LPD defined mentors as positive supporters of new employees versus the training role of a field-training officer that sometimes requires confrontation. Examples of expectations include how often meetings are held, how long the program will last, what kind of feedback is appropriate to give, etc.
- Set goals, objectives, and expectations for the protégé, mentor, and organization in written policy to make them clear to everyone involved in the process and incorporate these into agency policy. The LPD went as far as to post mentor program expectations on the Internet in addition to putting them in policy.³¹⁶
- Define the program duration, such as completion of probation, a set time period, or upon satisfying specific criteria like Henrico Fire did with the acting officer program manual.
- Provide time for meetings and interaction between mentor and protégé, which was the number one complaint in the CHP mentee surveys.³¹⁷
- Plan to create a perpetual (informal) mentoring cycle by openly supporting mentoring and teaching mentoring skills, learning styles, leadership principles, and organizationally preferred context. Henrico Fire employs this strategy with the acting officer program and reinforces it with recognition of good leadership as cited in Chapter V, and others claim such a strategy as underutilized at every level of government.³¹⁸
- Identify participants—both mentors and mentees
 - Designate the specific individuals the agency believes are related to the problem issues as potential mentees and those who are part of the solution as mentors. The LPD did so by recruiting mentees from the target group of new employees and sought voluntary mentors from its experienced officers.
 - Participation should be voluntary, but strongly encouraged and supported by leadership. Research for this thesis clearly indicates

³¹⁵ Henrico County Division of Fire, *Acting Officer Precepting Manual*, DOF 305.

³¹⁶ Lansing Police Department, “Police Department Mentor Guidelines.”

³¹⁷ California Highway Patrol, *Mentee Survey Response Data*.

³¹⁸ Colaprete, *Mentoring in the Criminal Justice Professions*, 6.

voluntary mentoring programs are more successful than mandatory programs.

- Everybody is not suited to be (or wants to be) a mentor. The LPD does not turn anyone away who voluntarily wishes to participate and relies on the compatibility survey to make matches.³¹⁹
- Train participants
 - The participants (mentors, mentees, and coaches) need to be trained about their specific roles and expectations prior to their participation in the program. Providing clear roles and expectations of both the participants and the organization at the onset of the program can help avoid misinterpretations that can subsequently lead to problems with trust and a perceived lack of organizational support and produce negative consequences.³²⁰
 - Develop the mentoring program orientation training around the defined individual roles and expectations identified in the planning process. These roles may be different for each agency, but properly identifying the expectations of the organization is important to the training process as documented previously.
 - Use the training methods that fit an organization's manpower, resources, and logistics. The CHP's use of on-line training is a cost and timesaving measure.
 - Training can be a powerful part of the formal mentoring program itself. Henrico Fire's use of classroom and scenario-based training helps acting officer candidates' progress through the program.
- Pair the participants
 - Do not pair participants at random. One researcher attributes random pairings to the odds of finding true love on a blind date.³²¹
 - Match participants based on compatibility in addition to logistics. Matching participants based solely on compatibility may work for small agencies, but may be impossible for those with large jurisdictions. However, the latter should still attempt to pair participants by considering the compatibility of available personnel.

³¹⁹ Lansing Police Department, *Report to United States Department of Justice Law Enforcement "Best Practices" Project*.

³²⁰ Young and Perrewe, "The Role of Expectations in the Mentoring Exchange: An Analysis of Mentor and Protege Expectations in Relation to Perceived Support," 120.

³²¹ Chao, "Formal Mentoring," 315.

- Have a “no fault” process in place to change pairings if necessary. Mentoring relationships depend on trust between the mentor and mentee. The research indicates if the participants do not mesh, or if trust is breached, the relationship is not likely to produce the results desired by the organization or the participants.
- Pairing the protégé with someone of a different status or rank, such as with a supervisor, is an option that can work even though peer mentoring is the norm. This practice is supported by the research and the Henrico Fire case study.
- Monitor, evaluate, and refine the program
 - Dedicate a program coordinator early in the planning process who is both committed to the program and motivated. In two of the three case studies, the program coordinator was the driving force behind every step in the process to implement the formal mentoring program. Their efforts are a testament to what one dedicated individual can accomplish for an organization with the support of agency leadership.
 - Evaluate knowledge, perception, and behavior measures consistent with the target goals of the formal mentoring program before and after the program (and during the program when appropriate). These three criteria allow for both qualitative and quantitative measures. Examples include knowledge tests, surveys of participants, and retention rates of new employees.
 - Make the evaluation process participation mandatory, and set evaluation intervals in policy. Evaluation intervals are determined by the needs of the agency, but research indicates changes in behavior take at least six months to occur.³²²
 - Make changes as necessary according to the evaluations, which should be a fluid process. For example, the LPD expanded its mentor program to include new personnel in the communications center when the agency found it drastically improved retention rates for new officers through evaluation.³²³
 - Monitor the mentoring relationships. One example is that the CHP assigns “coaches” to mentors and mentees to oversee and facilitate the mentoring process who have the supervisory authority to make changes in the pairings if necessary.³²⁴

³²² Allen, Finkelstein, and Poteet, *Designing Workplace Mentoring Programs*, 56.

³²³ Lansing Police Department, *Report to United States Department of Justice Law Enforcement “Best Practices” Project*.

³²⁴ *Ibid.*

- Hold mentoring program participants responsible for their own progression. The CHP makes participation in the mentoring program part of the employee's work profile for performance evaluations, and thus, provide an external incentive for all members to "do their part."³²⁵

Other identified smart practices that do not fit neatly into one of the above program development steps include the following.

- Real and expressed leadership support for a formal mentoring program is important for program success, as was demonstrated in both the research and all three case studies.
- Have a continuity plan for the mentor program coordinator position. This practice is based on the observation in two of the three case studies of how critical the initial program coordinator was in establishing the program and the high level of personal engagement displayed. A less dedicated program coordinator could allow a successful program to atrophy.
- Have realistic expectations. Formal mentoring programs have strengths and weaknesses so do not expect perfection. Weaknesses include no matter how much time and effort is put into planning and implementation, interpersonal relationships are an essential element of mentoring. Problem issues associated with some of those relationships will occur.
- Reward participation. Extrinsic rewards include financial compensation, entrustment with additional responsibilities (agency confidence), eligibility for promotion, and formal recognition of program completion.
- Give the protégé an opportunity to learn a new job or role within the agency before holding them accountable for it. This practice also gives the agency an opportunity to assess the protégés' ability to perform in that position, and eliminates "The Peter Principle" of promoting individuals to one level above where they perform best.³²⁶
- Encourage a mentoring culture in the organization by showing mentors what the organization wants taught, how to teach it, and expressing that those skills need to be put to good use, formally or informally. Should the organization be successful at developing a mentoring culture, a formal mentoring program will not be necessary.
- If an agency chooses to implement a formal mentoring program, then take the time to get it right the first time. The CHP delayed its mentoring

³²⁵ California Highway Patrol, "HPM 70.13," 5-7, 5-8.

³²⁶ Peter and Hull, *The Peter Principle*.

program implementation to help ensure it would be successful, and then phased it in from the top down to solve potential problems before expanding it to more employees.

Some of the “smart practices” listed in this section are consistent with lessons learned in U.S. military formal mentoring programs that “have proliferated within the armed forces.”³²⁷ Due to the extensive manpower and financial resources available to the various military services, this thesis intentionally focuses on smaller homeland security agencies in an attempt at creating a more direct comparison. Nonetheless, the recommendations for formal mentoring programs in the U.S. military made by Johnson and Andersen in “Formal Mentoring in the U.S. Military: Research Evidence, Lingering Questions, and Recommendations” are consistent with the findings of this thesis and include the following.

- Develop a master strategy before implementing mentoring programs
- Avoid mandatory programs: facilitate a sense of choice
- Demonstrate top-down support for mentoring
- Develop a mentoring continuum—(both long and short term mentoring programs). Under this recommendation the researchers noted “...it will behoove military planners to support flexibility and culture-specific program development in local commands; mentoring programs should be customized to cultural expectations, participant preferences, deployment schedules, and other relevant variables.”
- Select mentors carefully
- Develop high-quality training programs for mentors³²⁸

The fact that these recommendations closely resemble some of those formed from the case studies in this thesis indicate a direct comparison between the military and other homeland security agencies may be much more realistic than initially expected by the author.

³²⁷ Johnson and Andersen, “Formal Mentoring in the U.S. Military,” 113.

³²⁸ *Ibid.*, 122–124.

C. LIMITATIONS AND NEED FOR FUTURE RESEARCH

This thesis is limited by the relatively few homeland security agencies with an active formal mentoring program to draw from and a sample of only three case studies when evaluating smart practices. Certainly, other smart practices for formal mentoring programs organizations exist in addition to those identified in this thesis. The scope of this project would not allow the inclusion of all the different types or styles of mentoring processes (such as reverse mentoring, team or group mentoring, peer mentoring, supervisory mentoring, virtual mentoring, speed or flash mentoring, and situational mentoring³²⁹) available for adoption and use by organizations. The latter will require independent research by agencies looking to implement a formal mentoring program to determine which type of mentoring suits their needs best.

Future research is needed in the area of quantitative evaluation measures of formal mentoring programs. The evaluation criteria proposed in this thesis—knowledge, perception, and behavior—were adapted from measures to assess training results. While some of the criteria were present in each of the three case studies presented, empirical data for all three criteria was not available for any of them. More accurate and quantitative measures of the outcomes of a formal mentoring program would be beneficial to both determine the realistic impact the program has and allow leadership in agencies considering adoption of formal mentoring practices to evaluate the cost to benefit the equation better.

Future research is also needed in the area of why formal mentoring programs fail. During the research for this thesis, the information located about why mentoring programs fail was often generated by paid mentoring consulting firms and not from scholarly sources. Therefore, data about failed mentoring programs was not included in this thesis. Why mentoring programs fail may be just as important to understand (if not more so) for homeland security organizations than the characteristics of successful formal mentoring programs.

³²⁹ United States Office of Personnel Management, *Best Practices*, 15–16.

D. IMPLEMENTATION STRATEGY

The winning coalition for formal mentoring program implementation is as small as one essential leader in an individual agency, but that coalition expands exponentially when considering just how many government agencies are involved in homeland security related work. For example, the United States has about 18,000 local and state police agencies.³³⁰ Not every police agency is large enough to support a formal mentoring program in house. In fact, most local police agencies in the United States are small (with 10 officers or less) and the average police agency has 25 sworn officers.³³¹ Add fire departments, estimated at over 30,000 agencies, and over 19,000 credentialed emergency medical services agencies, and the overall coalition of influential and essential supporters necessary for sweeping change in homeland security becomes huge, even if many of these agencies are small.³³²

Public sector leaders are much more mission driven than democratically elected leaders and typically are career public servants.³³³ The mission focus means it is important to document the organizational benefits of a formal mentoring program accurately, as well as any tradeoffs. In other words, public sector agency heads are more likely to adopt a policy they believe supports the overall mission, provided that it works and is cost effective.

Homeland security is a nationwide system of independent agencies with a common goal and purpose.³³⁴ Systems that are so large and diverse are seldom changed quickly. By analyzing successful formal mentoring programs that already exist in homeland security agencies, smart practices and policies identified can help to flatten the

³³⁰ Office of Justice Programs, "Local Police," *Bureau of Justice Statistics*, last revised August 16, 2014, <http://www.bjs.gov/index.cfm?ty=tp&tid=71>.

³³¹ drtomoconnor, "Police Structure of the United States."

³³² U.S. Fire Administration/FEMA, "National Fire Department Census Quick Facts," last updated August 14, 2014, <http://apps.usfa.fema.gov/census/summary.cfm#a>; Teresa McCallion, "NASEMSO, Survey Provides Snapshot of EMS Industry," *JEMS mobile*, November 15, 2011, <http://m.jems.com/article/ems-insider/nasemso-survey-provides-snapshot-ems-ind>.

³³³ William D. Eggers and John O'Leary, *If We Can Put a Man on the Moon: Getting Big Things Done in Government* (Boston, MA: Harvard Business Press, 2013).

³³⁴ Department of Homeland Security, "Presidential Policy Directive 8: National Preparedness," accessed June 15, 2014, <http://www.dhs.gov/presidential-policy-directive-8-national-preparedness>.

learning curve and keep organizations from essentially having to “reinvent the wheel.” Providing a proverbial roadmap for the planning and implementation process involved with the creation of a formal mentoring program creates a foundation on which to build. The best opportunity to create a winning coalition for implementing formal mentoring programs in homeland security will initially be one agency at a time, and the sheer number of organizations means some will be willing to try formal mentoring programs. If those early adopters experience success, more agencies will follow, and the coalition will grow. Conversely, if not properly implemented, formal mentoring programs can do more harm than good and early failure could effectively kill any momentum of this thesis.³³⁵ Therefore, properly identifying the smart practices for the development and implementation of a formal mentoring program is critical for the success of this policy option. Smart practices from existing programs in homeland security agencies provide an “apples to apples” comparison that should reduce the inherent risk of trying something new for an agency.

E. CLOSING REMARKS

Can formal mentoring programs better develop future leaders for homeland security organizations? Each homeland security agency needs to answer this question for itself after an introspective review. The three case studies show formal mentoring programs can be successful if the right steps are followed to design and implement the program. While certainly not a cure all, a formal mentoring program has the potential to address a variety of problems in a cost effective manner. Are there problem issues in the organization that formal mentoring can help address such as high turnover, lack of diversity, skill and knowledge limitations, and a need for succession planning or leadership development? If so, and the agency understands the benefits and tradeoffs of formal mentoring programs, then it may be time that the organization considers the implementation of a formal mentoring program. These policy choices could result in better prepared homeland security leaders who are ready to face challenges when it is

³³⁵ Allen, Finkelstein, and Poteet, *Designing Workplace Mentoring Programs*, 5.

their turn to lead and, in some small measure, ultimately help to shape this nation's future by "stacking the deck" to its advantage.

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APPENDIX A. THE BUSINESS MODEL CANVAS FOR FORMAL MENTORING PROGRAMS IN HOMELAND SECURITY AGENCIES

The Business Model Canvas for Formal Mentoring Programs in Homeland Security Agencies

KP Key Partner <ul style="list-style-type: none"> •Employee Union / Association •Organizational Leadership Support •Training Section •Personnel Section •Mentors •Mentees •Program Coordinator •Mid-level Management 	KA Key Activities <ul style="list-style-type: none"> •Agency Self-Assessment •Planning the Program •Selecting Participants •Training Participants •Pairing Participants •Evaluating the Program •An Exit Strategy •Recognition 	VP Value Proposition <ul style="list-style-type: none"> •Improve Leadership Development •Succession Planning •Transfer Skill and Knowledge between Employees •Improved Performance •Improved Confidence •Close Generational Gaps •Improve Employee Retention Rates 	CR Customer Relationship <ul style="list-style-type: none"> •Direct Participation •Program Oversight •Agency Outreach •Agency Action 	CS Customer Segments <ul style="list-style-type: none"> •Agency Leadership •Upper Management •Agency Members •Program Coordinator <p style="text-align: center;">Considerations for Success and Potential Obstacles</p> <ul style="list-style-type: none"> •Employee Unions / Associations •Money •Time •Employee Buy-in •Leadership Support
CS Cost Structure <ul style="list-style-type: none"> •Depends on Policy Option Chosen •Program Coordinator Salary •IT Services •Training/Travel Costs •Man Hours •Evaluation Materials 		RS Revenue Stream <ul style="list-style-type: none"> •Better Resistance to Liability due to Improved Diversity, Leadership, and Knowledge •Lower Costs to Hire and Train Personnel due to Improved Employee Retention Rates 		

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APPENDIX B. ACTING OFFICER PRECEPTING MANUAL

ACTING OFFICER PRECEPTING MANUAL



DOF 305

NOTE: Members advancing to Senior FF after Jan. 1, 2011 must complete this precepting manual. Members advancing prior to Jan. 1, 2011 complete the current 305 check sheet. Refer to Section 10.00 of the CDP Manual for further information

Dear Acting Officer Candidate:

I want to take a moment of your time to congratulate you on your decision to seek appointment as an Acting Officer (CDP Senior FF) with the Henrico Division of Fire. The Acting Officer fulfills a crucially important role within the Division of Fire. Ensuring consistency in the absence of the Company Officer, serving as a leader, mentor, coach, and serving as a role model for the other members of shift are just some "hats" that you will be asked to wear. Becoming an Acting Office is the first step to becoming a leader with in the Division of Fire.

Becoming an Acting Officer is not a decision that you should be taking without due consideration. Advancing to the position of Acting Officer is something you should give a lot of thought to and evaluate if you are truly ready to take on the added responsibilities associated with being a first line leader. This is the first step in your career to begin your "leadership journey" in this department. It is a serious one and should be one you have mentally prepared yourself for. Becoming an Acting Officer is not about a CDP pay raise. It is not just about riding in the front right hand seat of the fire truck for the day. This next step is not for everyone and everyone is not cut out to be a leader, and truthfully that is OK. With that said I also want to make it perfectly clear that I firmly believe that people can be taught to be leaders and develop their leadership skills though the study of leadership, training, and practical application of leadership principals. It is my hope this course will offer you some of the tools, skills and principles you will need to be successful in this position. It is also important to remember it will not offer you all of the tools; you will have to continually seek out other leadership training and educational opportunities and become a student of leadership and continuous learning. This is how you will develop and serve the organization in a productive capacity.

As you go through the process of learning to be an Acting Officer some issues that will most likely come to you somewhat naturally will be fire strategy and tactics or the day to day fire department operational issues, and that is a good thing because you will need to be well versed in these areas to be a successful Acting Officer. However, areas that will not come as easy and will present you with much more complex issues and challenges, and will test you on a regular basis throughout your entire Division of Fire leadership journey, will be the issues that deal with honor, integrity and ethics. Issue involving theses characteristics will challenge you and make your leadership journey a difficult one at times. There will be many times in your career as an Acting Office or higher that you will be faced with situations or issues where you must choose the harder right instead of the choosing the easier wrong.

Over the course of your training and preparation for this important and vital career step you will be required to complete the Acting Officer School, complete the Acting Officer Precepting Manual, and pass the Senior Firefighter exam. All of these steps will require dedication, maturity, self-study, motivation, time management, and demonstration of required skills.

All of these steps have been designed to provide you with the knowledge, skills, and abilities to function effectively and efficiently as an Acting Officer. A benefit of this program is that it also gives you a strong foundation to build upon should you seek promotion to Lieutenant in the future.

Your Lieutenant, your fellow shift members, the Fire Training Staff, and all members of the DOF are here to assist you as you embark on this important journey. I strongly encourage you take advantage of the vast knowledge base within the Division of Fire to enhance your personal learning and development.

I trust that you will accept the responsibilities of an Acting Company Officer in a mature and professional manner and will take the steps needed to reach this goal in the same manner. Once again I want to reiterate that this position is critical and essential to our department and once you obtain the rank of Senior Firefighter you will be an integral part of the our department' s leadership.

If I can be of any assistance as you progress through your next step in professional and personal development, please do not hesitate to contact me.

Sincerely,

E.W. Smith

ACTING OFFICER PRECEPTING MANUAL

DOF 305

PROGRAM OVERVIEW

Welcome to the Henrico County Division of Fire Acting Officer Program (AOP). The AOP is designed to provide a consistent and thorough base to prepare firefighters for their advancement to Senior Firefighter and that position's responsibilities as an Acting Officer.

The AOP Precepting Manual is the guiding document for the program. This manual is divided into five sections and specifically ordered to prepare the candidate for each successive segment. It is recommended that you complete the sections and each requirement in the order presented with the exception of Section IV (Scenario Section) that can be started after the completion of Section I at the rating Lieutenant's and/or Captain's discretion. Rating Lieutenants and Captains are encouraged to utilize their own discretion on when to begin the Scenario Section, as this section requires a strong working knowledge of DOF SOG's, and Strategy and Tactics.

You and your rating Lieutenant or Captain should expect this process to require approximately one calendar year to complete. This program is not designed to be completed rapidly or in the minimum number of possible work days. Candidates and their rating Lieutenants should ensure adequate time is allotted to cover the material completely and thoroughly. This program will require you to manage your time wisely, research information, conduct training classes, complete written assignments, and show that you have the required knowledge, skills, and abilities to successfully perform as an Acting Officer. It is important for you to remember that you, the Acting Officer Candidate, are solely responsible for completing this program. Your rating Lieutenant and / or Captain is there as a teacher and guide, they are not there to manage your time for you.

The manual begins with a general knowledge review then each additional section builds the candidate's knowledge to prepare them for their practical evaluations. All sections will require research, the completion of written assignments, documentation of skills knowledge, and follow-up discussion. Throughout the process, the candidates will be responsible for accurate completion of all assignments and their rating Lieutenants and/or Captains will certify this by signature that each requirement has been met. At the completion of all sections of this manual the Candidate will possess a document containing the results of the research, written assignments, documentation, discussions, and certification signatures and dates for presentation to the Captain of Fire Training. The Captain of Fire Training will review the contents of the document to verify satisfactory and accurate completion. Acting Officer candidates are encouraged to turn their manuals in for review at least 30 days prior to the actual due date so that any shortcomings, deficiencies, or corrections may be identified by the Captain of Fire Training. This allows the Acting Officer candidate sufficient time to make the corrections prior to the due date. Upon satisfactory and accurate completion, your Precepting Manual will be digitally scanned and returned to you for future reference.

The following is an overview of the sections in the Manual and the requirements for successful completion of each. (This is only an overview of each section. Read the specific directions at the beginning of each section for the requirements for meeting that section's criteria for successful completion.)

- **Section I: General Knowledge section.** Consists of questions intending to pre-test your knowledge of the Division of Fire and provide your rating Lieutenant or Captain with an overview of your individual strengths and weaknesses.
- **Section II: Standard Operating Guidelines.** Focuses on the SOGs that are most critical or most frequently referenced for guidance by Acting Officers.
- **Section III: Knowledge Development.** Consists of specific competencies required for an Acting Officer. These include leadership, instructional techniques, fire protection systems, building construction, strategy & tactics, hazardous materials, pre-incident planning, fire investigation, equipment, and technology. Some competencies require explanation or discussion with your rating Lieutenant or Captain, while others may require specific demonstration of skills.
- **Section IV: Scenario Section.** Consists of 25 days of scenarios and situations that are designed to enhance your knowledge base of Division operations and increase your decision making skills.
- **Section V: Practical Evaluation Section.** During this time you will be the Acting Officer for a minimum of 14 duty days*; riding in the officer's seat, and taking responsibility for decision-making and the shift's activities under the supervision of your rating Lieutenant or Captain. Firefighters who are qualified Acting Officers are not permitted to supervise the Acting Officer Candidate for any of the 14 duty days.

* It is strongly recommended that candidates complete these 14 duty days as 24 hour shifts. Doing so offers the Candidate the most opportunity to participate in real experiential situations. It also provides the Rating Lieutenant/Captain the most opportunities to observe the Candidate in the real experiential situations. However, a duty day can best be described as a meaningful and significant portion of the day. Due to the relative call volumes of some DOF stations, it may be necessary for the Candidate and Rating Lieutenant/Captain to use a more creative approach. For example, those candidates assigned to "slower" call volume stations or units are encouraged to switch districts with a higher call volume station or unit for a significant portion of the duty day in order to increase the opportunity to run calls. This type of action must be coordinated through the appropriate Battalion Chief.

ACTING OFFICER PRECEPTING MANUAL DOF 305 COMPLETION FORM

The candidate's completed Acting Officer Precepting Manual, including all required additional documentation, must be received by the Captain of Fire Training no less than thirty (30) days prior to the candidate's employment anniversary date. Acting Officer candidates are encouraged to turn their manuals in for a cursory review by the Captain of Fire Training well **prior** to this date. This allows sufficient time to make any identified corrections prior to the required submittal date (30 days prior to employment anniversary date).

Completed manuals will then be digitally scanned and returned to the Acting Officer Candidate. A hardcopy of this form will be placed in the candidates training file as documentation of completeness.

If the candidate's Precepting Manual is missing required documentation/signatures it will be returned to the Acting Officer Candidate along with a list of missing documentation. It is the Acting Officer Candidate's responsibility to ensure that all required items are completed properly and received by the Captain of Fire training no less than thirty (30) days prior the candidate's employment anniversary date.

Name of Acting Officer Candidate (Print): _____

Assigned Location: _____

Rating Lieutenant (Print): _____

Signature of Rating Lieutenant: _____

Rating Captain (Print): _____

Signature of Rating Captain: _____

Date Precepting Manual Completed: _____

SECTION I

GENERAL KNOWLEDGE ***SECTION***

Sources for this section include:

DOF SOG Manual

DOF ICS Manual

DOF Highrise Manual

Henrico County Rules and Regulations

IFSTA Essentials

IFSTA Company Officer

John Norman's Fire Officer's Handbook of Tactics

Emergency Response Guidebook

AO CANDIDATE NAME: _____

GENERAL KNOWLEDGE SECTION

The following questions are intended to assess your general knowledge of DOF policies, procedures, and general fire service concepts. If you do not know the answer to a question or are unsure, you may look the answers up. You may write the answers in the space provided or type them on a separate sheet(s). **Written responses to all questions are required for successful completion of this section. Question one has been answered for you to provide an example of a correct written response.**

- 1) When is it appropriate to wear the Type 1 uniform? Type 2?

The Type 2 uniform (t-shirts) can be worn:

- *While at the station*
- *While enroute to or on-scene of an emergency incident*
- *While in the cab of the apparatus*
- *While conducting hand-on practical or fitness training*
- *After 1900hrs unless on a pre-schedule event*

The Type 1 uniform (light blue shirt with appropriate badge and CDP pins) should be worn at all other times unless the dress uniform is required. (Source: SOG HR-12)

- 2) What is the standard running assignment for a residential fire? List the responsibilities for each company.
- 3) What is the standard running assignment for a commercial building fire? List the responsibilities for each company.
- 4) What is the standard running assignment for a highrise fire? List the responsibilities for each company.

AO CANDIDATE NAME: _____

11) Where can you find all DOF forms?

12) According to DOF policy, an employee must report an injury within how many days of the injuries occurrence?

13) What form(s) must be filled out if an employee is injured on duty?

14) What is system status management and who is responsible for it?

15) Explain the 6 elements of the communications model?

16) Explain how to use the "Click to Enter" gate system.

AO CANDIDATE NAME: _____

17) What infractions require the implementation of the Internal Investigation process?

18) What is the procedure for reserving the Woodman Road Drill School for training?

19) You're the OIC for the day and notice that one of your crew members smells like alcohol. Explain what the procedure is for handling this.

20) The toilet will not flush at the station. Who do you call? What is the phone number?

21) The biohazard box(s) are full at your station. What do you do? What is the phone number?

22) What is the difference between telling another unit to in-line you or to pump to you? When is it appropriate for each situation?

AO CANDIDATE NAME: _____

23) What resource do you get if you request a second alarm?

24) What are the different types of MCI's? How many patients determine each level?

25) What term do we use for a fire fatality on the radio?

26) What types of petroleum spills require the response of the Hazmat team?

27) What is the CO reading that requires the use of a SCBA on a CO call? For a structural fire?

28) What is the DOF position and VA state law regarding emergency vehicle adherence to speed limits during emergency response?

AO CANDIDATE NAME: _____

29) What types of incidents require the response of a fire investigator/representative from the FMO?

30) What is a "Fire Watch"? Who can establish a "Fire Watch"?

31) What is the DOF policy regarding the use of cameras on emergency scenes?

32) Is open burning allowed in Henrico County? If "yes", under what conditions?

33) What is the procedure for reporting a DOF vehicle involved in an accident?

34) What are the three basic "Command Options" as outlined in the Henrico ICS Manual?

35) What is the difference between strategic level, tactical level, and task level?

AO CANDIDATE NAME: _____

36) What is the difference between Interior Fire Attack and Rescue Mode?

37) What is the difference between Exterior Fire Attack and Defensive Mode?

38) What is the difference between Divisions and Groups?

39) What is Unified Command?

40) What are the three basic incident priorities used on every incident?

41) Define the following: Level 1 staging, Level II staging, Level III staging, Base, and Staging.

AO CANDIDATE NAME: _____

42) What is a phase I recall of an elevator?

43) What is reverse stack effect?

44) What is Type III construction? What are its strengths and weakness?

45) What does the acronym RECEO VS stand for?

46) What does the acronym LOVERS U stand for?

47) What is a "V" pattern?

AO CANDIDATE NAME: _____

48) What are the advantages of vertical ventilation? What are the disadvantages?

49) You are the IC at a structure fire when a "May-Day" is called over the radio. What do you do? Explain the procedure for managing a "May-Day".

50) You respond to an incident to find a tractor trailer overturned on fire. You notice a placard with 1546 on it. How do you identify the material involved? What is the material involved? What guide number in the ERG do you reference? What are the health hazards? What are the fire/explosion hazards? What PPE is required?

SECTION II

SOG SECTION

The Senior Firefighter candidate shall demonstrate a working knowledge of all DOF Standard Operating Guidelines with an emphasis on the following SOG's.

Senior FF Candidates should use Section II and Section III as a study guide for preparing for the CDP Senior Firefighter Exam.

AO CANDIDATE NAME: _____

As each **Emergency Operations** SOG is completed, the officer should enter the date of completion and print and sign his/her name. **Emergency Operations** SOGs are of critical importance; therefore the candidate shall demonstrate an intimate knowledge and the ability to recall the contents of each.

EMERGENCY OPERATIONS

SOG	TITLE	OFFICER'S NAME	OFFICER'S SIGNATURE	DATE
EO-01	ICS Designation			
EO-02	Emergency Scene Chain of Command			
EO-03	Two-Person Engine Company			
EO-04	Volunteer Response			
EO-05	Conflicting Emergencies			
EO-06	Fire Scene Security			
EO-07	Emergency Evacuation			
EO-08	Spills Involving Petroleum Products			
EO-09	Carbon Monoxide Alarms			
EO-10	Personnel Accountability Tracking System			
EO-11	Atmospheric Monitoring/Fireground Operations			
EO-12	High Hazard Response to Jail			
EO-13	Establishing a Water Supply			
EO-14	Vehicle Operation & Safety			
EO-15	Safe Fire Ground Operations			
EO-16	Disconnecting Electrical Service			
EO-17	Fire Ground Rehabilitation			
EO-18	SCBA			
EO-19	Highway/Roadway Incident Safety			
EO-20	Occupant Services Sector			
EO-21	Bullard Thermal Image Camera			
EO-22	Incident Safety Officer			
EO-23	Rapid Intervention Team			
EO-24	Lost/Trapped Firefighter Actions			
EO-25	Approaching a Downed Firefighter			
EO-26	Managing Incident-Firefighters Trapped/Lost			
EO-27	Radio Failure Related to Specific Structures			
EO-28	Response to Credible & Non Credible Threats			
EO-29	Incident Support Unit			
EO-30	Hazardous Materials/Mass Decontamination			
EO-31	Crisis/Critical Response with Police			
EO-32	Safety & Risk Assessment Principles			
EO-33	Incident Priorities & Tactical Benchmarks			
EO-34	Fire Tactical Templates			
EO-35	Click 2 Enter Gate Systems			

AO CANDIDATE NAME: _____

As each SOG is completed, the officer should enter the date of completion and print and sign his/her name indicating that the Senior Firefighter Candidate understands the policy and procedures outlined in each SOG and how they are applied.

ADMINISTRATION

SOG	TITLE	OFFICER'S NAME	OFFICER'S SIGNATURE	DATE
AD-15	Cellular Telephone Policy			
AD-16	Charges Against Citizens			
AD-18	Subpoena Procedures			
AD-22	Computer Policy			
AD-28	Estimating Fire Damage in Structure Fires			

EQUIPMENT

SOG	TITLE	OFFICER'S NAME	OFFICER'S SIGNATURE	DATE
EQ-01	Property			
EQ-02	Vehicle Maintenance			
EQ-03	Radio Shop Procedures			
EQ-04	Personally Purchased Protective Equipment			
EQ-08	Portable Generator Procedure			
EQ-10	Station Repair Procedure			

HUMAN RESOURCES

SOG	TITLE	OFFICER'S NAME	OFFICER'S SIGNATURE	DATE
HR-02	Workers' Compensation/Employee Injury			
HR-08	Notification of Next of Kin			
HR-12	Uniform Standard			
HR-14	Internal Investigations			
HR-16	Physical Fitness			
HR-18	Substance Abuse Testing Program			
HR-20	Workplace Violence Control Program			

SAFETY

SOG	TITLE	OFFICER'S NAME	OFFICER'S SIGNATURE	DATE
SA-01	Avoidance of Injury			
SA-02	Accident Involving Apparatus			
SA-04	Use of Red Lights & Personnel			

AO CANDIDATE NAME: _____

As each SOG is completed, the officer should enter the date of completion and print and sign his/her name indicating that the Senior Firefighter Candidate understands the policy and procedures outlined in each SOG and how they are applied.

OPERATIONS

SOG	TITLE	OFFICER'S NAME	OFFICER'S SIGNATURE	DATE
OP-03	Obedience to Orders			
OP-04	Attention to Duty			
OP-05	Use of Tobacco Products			
OP-06	Sleeping in Quarters			
OP-08	Use of Station's Parking Lot			
OP-10	Working on Personal Vehicles			
OP-12	Shift Change			
OP-13	Reporting for Duty			
OP-26	Supply & Repair Procedures			
OP-27	Business Inspections by Fire Company Personnel			
OP-32	Ride-Along Policy			
OP-37	Hose Bed Covers			
OP-39	Smoke Alarm Program Procedure			
OP-40	Squad Companies			
OP-41	Electronic Incident Reporting			
OP-43	Fire/EMS Photography Management			

FIRE PREVENTION

SOG	TITLE	OFFICER'S NAME	OFFICER'S SIGNATURE	DATE
FP-05	Open Burning			
FP-06	Juvenile Firesetter Program			
FP-07	Multiple Family Dwellings			
FP-08	Exterior Fire Doors			
FP-09	Extension Cords			
FP-11	Fire Extinguishers, Service Stations			
FP-12	Ceiling Tiles			
FP-15	Notifying Fire Investigators and Fire Inspectors			
FP-21	Fire Regulations/Special Events			
FP-22	Enforcement of Open Burning Ordinances			
FP-27	Storage of Portable Containers			
FP-28	Use of Barbeque Grills			
FP-30	Inspection Notification to Fire Marshal Office			

AO CANDIDATE NAME: _____

As each SOG is completed, the officer should enter the date of completion and print and sign his/her name indicating that the Senior Firefighter Candidate understands the policy and procedures outlined in each SOG and how they are applied.

EMS

SOG	TITLE	OFFICER'S NAME	OFFICER'S SIGNATURE	DATE
EM-02	EMS Management Responsibility			
EM-04	Hospital Selection			
EM-07	Patient Care Reports			
EM-08	Patient Management Authority & Transfer			
EM-10	Cardiac Arrest - Notification Procedures			
EM-12	Infectious Disease Control Plan			
EM-13	Child and Adult Abuse of Neglect			
EM-14	Crisis Intervention - Emergency Services			
EM-15	Air Medical Evacuation			
EM-16	EMS Disposition Codes			
EM-19	ALS Staffed Fire Companies			
EM-20	Drug Box Security			
EM-21	On-scene Assignments to Ambulance			
EM-24	Multi-Casualty Plan			
EM-25	Guidelines for Obtaining Signed Patient Refusals			
EM-26	Critical Incident Stress Debriefing			
EM-27	Response to Incident Stress Debriefing			
EM-29	ALS care by Uncleared ALS Providers			
EM-31	Death in the Field/Grief Support			
EM-33	Medical Waste Disposal			
EM-35	Requests for PPCR's			
EM-40	Carbon Monoxide Poisoning & Masimo Rad57			
EM-42	Lost, Found, and Damaged Personal Property			

AO CANDIDATE NAME: _____

As each SOG is completed, the officer should enter the date of completion and print and sign his/her name indicating that the Senior Firefighter Candidate understands the policy and procedures outlined in each SOG and how they are applied.

COMMUNICATIONS

SOG	TITLE	OFFICER'S NAME	OFFICER'S SIGNATURE	DATE
FC101	Normal Dispatch Procedures			
FC102	Dispatch Procedures –High Volume			
FC103	Interstate Response			
FC104	Mutual Aid Procedures			
FC 105	Aircraft Crash Response			
FC106	Multi-Casualty Response			
FC107	Water Rescue Procedures			
FC108	Technical Rescue Team			
FC109	Haz Mat Incident Response			
FC110	Haz Mat Team Activation			
FC112	Suspicious Package EOD Bomb Threat Incidents			
FC113	Citizen Locked Out			
FC114	Smoke Detector Alarms			
FC115	Burning Violations			
FC116	Missing Person Procedure			
FC117	Emergency Button Activation			
FC205	Off Duty Callback			
FC304	Personal Communication Devices			
FC305	Plain Language Radio Communications			
FC306	Phonetic Alphabet			
FC307	Nite Cards Viewing and Updating			
FC311	Radio System Overview			
FC313	Alarm Assignments			

TRAINING

SOG	TITLE	OFFICER'S NAME	OFFICER'S SIGNATURE	DATE
TR-02	Training			
TR-07	Weather Conditions Affecting Training			
TR-08	Drill Facility			
TR-09	Company Training			

AO CANDIDATE NAME: _____

DOF ICS MANUAL

As each item is completed, the officer should enter the date of completion and print and sign his/her name. The concepts and principles outlined in the DOF ICS manual are of critical importance; therefore the candidate shall demonstrate an intimate knowledge and the ability to recall the contents of this manual.

CHAPTER	COMPETENCY	OFFICER'S NAME	OFFICER'S SIGNATURE	DATE
1	Responsibilities of Command			
1	Functions of Command			
1	Command Options			
1	Passing Command			
1	Transfer of Command			
1	General Considerations			
2	Command Organization			
2	Strategic Level			
2	Tactical Level			
2	Task Level			
2	Operational Modes			
2	Offensive Mode			
2	Rescue Mode			
2	Interior Fire Attack Mode			
2	Exterior Fire Attack Mode			
2	Defensive Mode			
2	Declaration of Mode			
2	Command Structure - Basic			
2	Tactical Level (Division/Group)			
3	Branches			
3	Sections			
3	Operations Section/Staging Area			
3	Planning Section			
3	Logistics Section			
3	Finance/Administration			
3	Command Staff			
3	Information Officer			
3	Safety Officer			
3	Liaison Officer			
4	Single Command			
4	Unified Command			

AO CANDIDATE NAME: _____

HIGHRISE MANUAL

As each item is completed, the officer should enter the date of completion and print and sign his/her name. The concepts and principles outlined in the DOF Highrise manual are of critical importance; therefore the candidate shall demonstrate an intimate knowledge and the ability to recall the contents of this manual.

CHAPTER	COMPETENCY	OFFICER'S NAME	OFFICER'S SIGNATURE	DATE
1	Definition of Highrise			
	Incident Priorities			
2	Basic Objectives			
2	Types of Evacuations			
3	Initial Alarm Response			
3	2nd Alarm Companies			
3	3rd Alarm Companies			
3	Lobby Control			
3	Staging Facility			
3	Difference between Staging/Base			
4	Characteristics of a Highrise			
4	Occupancy			
4	Construction			
4	Elevators			
4	Window Assemblies			
4	HVAC			
4	Stack Effect			
4	Reverse Stack Effect			
4	Stratification			
4	Fire Control Room			
4	Highrise Template			

SECTION III

KNOWLEDGE DEVELOPMENT SECTION

Senior FF Candidates should use Section II and Section III as a study guide for preparing for the CDP Senior Firefighter Exam.

KNOWLEDGE DEVELOPMENT SECTION

Instructions

- Each criteria/block should be reviewed and completed by the candidate while working with his/her rating Lieutenant and/or Captain.
- In some cases a discussion of the criteria is appropriate; in other cases the candidate should demonstrate meeting the criteria by actual performance. If indicated, written assignments must be completed and included in the candidate's final packet.
- Each block **must** be dated, initialed by the rating Lieutenant and/or Captain, along with his/her name printed.

References

The following are references for completing this section:

IFSTA: Instructor

IFSTA: Company Officer

IFSTA: Essentials of Firefighting

NFPA Fire Protection Handbook

John Normans Fire Officer's Handbook of Tactics

DOF SOG Manual

DOF ICS Manual (High-rise Section included)

DOF Field Operations Guide (available at \\whfd192\Suppression\FieldOper)

Building Construction for the Fire Service (Brannigan)

The following websites contains computer generated fireground simulations that may be useful during your training: (These are provided as possible sources to enhance your training, you are not required to utilize these)

http://www.fireengineering.com/index/training/fire_simulations.html

<http://vincentdunn.com/>

<u>GENERAL</u>	<u>DATE/Rating LT or CPT (Initials & Printed)</u>
The candidate for certification as a Senior Firefighter shall meet all of the Performance Qualifications as outlined in the CDP Manual for Firefighter III.	
A candidate seeking certification who is currently assigned to a Truck or Squad Company must also meet the appropriate aerial or squad apparatus standard set forth in the CDP Manual.	
<u>INSTRUCTOR (IFSTA Instructor)</u>	
Explain/Demonstrate the selected criteria for NFPA 1041 (Fire Instructor) as listed below	N/A
Explain the Attributes/Characteristics of a good instructor	
Explain the Psychology of Learning <ul style="list-style-type: none"> • Learning Principles • Domains of Learning • Styles and Methods of Learning • Laws of Learning • Motivation • Memory • Factors that Affect Learning • Approaches to Teaching 	
Explain Preparing for Instruction <ul style="list-style-type: none"> • Developing Lesson Plans • Four Step Method of Instruction • Instructor Preparation 	
Explain the value and utilization of training aids including the proper requisitioning of the Divisions training aids, and the scheduling of the Drill School.	

<u>INSTRUCTOR</u>	<u>DATE/Rating LT or CPT (Initials & Printed)</u>
Candidate shall prepare a lesson plan and teach a fire or EMS topic to their shift that consists of at least 15 minutes of classroom instruction. <i>The candidate shall include a copy of their lesson plan in their precepting manual.</i>	
Candidate shall prepare a lesson plan and teach a fire or EMS topic to their shift that consists of at least 30 minutes of practical instruction. <i>The candidate shall include a copy of their lesson plan in their precepting manual.</i>	
<u>LEADERSHIP (IFSTA Company Officer)</u>	
Explain the differences between: <ul style="list-style-type: none"> • Managing • Supervising • Leading • Mentoring • Coaching 	
Describe the various attributes of the following leadership styles/theories, and their advantages and disadvantages: <ul style="list-style-type: none"> • Basic Leadership Style • Two-Dimensional Leadership Style • Contingency Leadership Theory • Contemporary Leadership Styles • Theory X • Theory Y • Theory Z • TQM • Leadership-Continuum Theory • Path-Goal Theory • Results-Based Leadership Theory • Principle-Centered Leadership 	

<u>LEADERSHIP</u>	<u>DATE/Rating LT or CPT (Initials & Printed)</u>
<p>Describe the various attributes of the following leadership models, and the advantages/disadvantages of each:</p> <ul style="list-style-type: none"> • Basic Leadership Model • Situational Leadership Model • Social-Change Model • Alpha Leadership Model 	
<p>Describe the five "Power Types" and the advantages and disadvantages of utilizing these as a leader:</p> <ul style="list-style-type: none"> • Reward • Coercive • Identification • Expert • Legitimate 	
<p>Explain the concept of Command Presence and its personality characteristics</p>	
<p>Explain the concepts of creating a effective team</p> <ul style="list-style-type: none"> • Development Stages of a Group • Basic Principles of Team Building • Creating Job Interest Within a Team • Empowering Employees • Rewarding Employees • Coaching Employees • Counseling Employees • Mentoring Employees • Celebrating Accomplishments 	
<p>Explain the importance of good communication skills</p> <ul style="list-style-type: none"> • Communications Model • Interpersonal Communication Purposes • Verbal Skills • Non-Verbal Skills • Listening Skills 	
<p>Describe the importance of discipline to effective operations and identify the Senior Firefighter's role in this regard.</p>	

<u>FIRE PROTECTION SYSTEMS</u> (IFSTA Essentials, Company Officer)	<u>DATE/Rating LT or CPT (Initials & Printed)</u>
Identify the location and type of special extinguishing systems within the firefighter's district and demonstrate a working knowledge of the method by which this system operate, are actuated, and shut-down.	
Describe the procedure for responding to fire alarms, the difference between a fire alarm, and a trouble alarm.	
Describe the hazards to personnel involved with the discharge of large amounts of carbon dioxide, dry chemicals, and Halon as part of built-in fire protection systems and identify the safety requirements that must be exercised by fire service personnel in instances where there is a possibility that personnel may be exposed to these substances.	
Describe any special procedures/notifications that take place when an extinguishing system discharges in a restaurant/food processing area and for packaged food areas.	
<u>BUILDING CONSTRUCTION</u> (IFSTA Essentials, Company Officer, Brannigan)	
Explain the characteristics and the effects of fire on the following types of building materials: <ul style="list-style-type: none"> • Wood • Masonry • Cast Iron • Steel • Reinforced Concrete 	

<u>BUILDING CONSTRUCTION</u>	<u>DATE/Rating LT or CPT (Initials & Printed)</u>
<ul style="list-style-type: none"> • Gypsum • Glass/Fiberglass 	
<p>Explain the characteristics, the effects of fire, and the hazards associated with the following building construction classifications:</p> <ul style="list-style-type: none"> • Type I • Type II • Type III • Type IV • Type V 	
<p>Describe the warning signs of possible building collapse.</p>	
<p>Explain what a collapse zone is and how it is measured.</p>	
<p>Explain the hazards of lightweight construction, truss construction, and engineered wood.</p>	
<p>Explain the considerations for the confinement of fire in a structure as they relate to compartmentalization/division of area and protection of openings, doors, concealed spaces, corridors, and stairwells.</p>	
<p>Identify and explain the purpose and use of following building systems that can aid fire department ventilation efforts or prevent smoke spread in buildings:</p> <ul style="list-style-type: none"> • HVAC systems • Automatic roof and walls vents • Atrium vents • Monitors • Skylights • Curtain boards • Under floor Air Distribution Systems 	

<u>FIREFIGHTING STRATEGY & TACTICS</u> (IFSTA Essentials, Company Officer, Norman, SOG/ICS Manual, FOG Manual)	<u>DATE/Rating LT or CPT (Initials & Printed)</u>
<p>Explain the following fire department strategic incident objectives:</p> <ul style="list-style-type: none"> • Life Safety • Incident Stabilization • Property Conservation 	
<p>Demonstrate the proper procedure for giving water supply assignments.</p>	
<p>Identify and describe the factors of size-up which must be considered to determine procedures for fire control.</p>	
<p>Given a simulated fireground situation, demonstrate the appropriate radio size-up (onscene report) and initial instructions to responding companies for the following operational modes:</p> <ul style="list-style-type: none"> • Rescue Mode • Interior Fire Attack Mode • Exterior Fire Attack Mode • Defensive Mode 	
<p>Explain the elements of “RECEO VS” as they apply to the establishment of incident priorities at a structural fire.</p>	
<p>Explain the elements of “LOVERS U” as they apply to special service operations at a structural fire.</p>	
<p>Explain the priorities of hose line positioning and why they should be in the following order:</p> <ol style="list-style-type: none"> 1. Protect Human Life 2. Confine the Fire 3. Extinguish the Fire 	

<u>FIREFIGHTING STRATEGY & TACTICS</u>	<u>DATE/Rating LT or CPT (Initials & Printed)</u>
<p>Given a simulated interior fire situation, describe:</p> <ul style="list-style-type: none"> • How fire may extend within the building • How to control fire spread within the building 	
<p>Given a simulated exterior fire situation, describe:</p> <ul style="list-style-type: none"> • Evaluate the situation to determine potential for fire to spread to adjacent buildings • How to control the fire spread 	
<p>Given a simulated structural fire condition, describe:</p> <ul style="list-style-type: none"> • The factors to be considered in deciding whether ventilation is necessary • The types of ventilation and which type, if any, should be applied 	
<p>Given a simulated fireground situation demonstrate or describe the appropriate tactics for managing a vehicle fire. Determine the resources required for control and the assignment and placement of the resources. Draw an ICS Chart at its broadest point for the incident.</p>	
<p>Given a simulated fireground situation demonstrate or describe the appropriate tactics for managing a kitchen fire in a single family dwelling. Determine the resources required for control and the assignment and placement of the resources Draw an ICS Chart at its broadest point for the incident.</p>	

<u>FIREFIGHTING STRATEGY & TACTICS</u>	<u>DATE/Rating LT or CPT (Initials & Printed)</u>
<p>Given a simulated fireground situation demonstrate or describe the appropriate tactics for managing a basement fire in a single family dwelling. Determine the resources required for control and the assignment and placement of the resources Draw an ICS Chart at its broadest point for the incident.</p>	
<p>Given a simulated fireground situation, demonstrate or describe the appropriate tactics for managing a fire in a structure that is Balloon Frame. Determine the resources required for control and the assignment and placement of the resources Draw an ICS Chart at its broadest point for the incident.</p>	
<p>Given a simulated fireground situation demonstrate or describe the appropriate tactics for managing an apartment fire. Determine the resources required for control and the assignment and placement of the resources Draw an ICS Chart at its broadest point for the incident.</p>	
<p>Given a simulated fireground situation demonstrate or describe the appropriate tactics for managing a fire in a strip mall. Determine the resources required for control and the assignment and placement of the resources Draw an ICS Chart at its broadest point for the incident.</p>	

<u>FIREFIGHTING STRATEGY & TACTICS</u>	<u>DATE/Rating LT or CPT (Initials & Printed)</u>
Given a simulated fireground situation and a list of available resources demonstrate or describe the utilization and coordination of manpower or equipment to rescue trapped a civilian.	
Given a simulated fireground situation and a list of available resources demonstrate or describe the utilization and coordination of manpower or equipment to rescue a trapped firefighter. You are the Incident Commander.	
Given a simulated fireground situation requiring salvage and overhaul operations, demonstrate or describe the appropriate salvage and overhaul operation procedure and techniques necessary.	
Given a simulated elevator emergency, demonstrate or explain the procedures and techniques necessary for a successful outcome.	
<p>Give a simulated <u>field incident</u> (practical multi-company evolution), including a description of the equipment, and personnel available and any other basic background information deemed necessary, be able to successfully manage an incident involving:</p> <ul style="list-style-type: none"> • A simulated structural fire • A simulated flammable liquid/gas fire 	

<u>HAZ-MAT</u>	<u>DATE/Rating LT or CPT (Initials & Printed)</u>
Given a simulated incident, be able to demonstrate the proper use of the ERG for identifying hazardous materials, the hazardous associated, proper PPE, and initial actions.	
Explain what incidents require the notification and/response of the FMO, DEQ, and Haz-Mat Team and how to contact the Haz-Mat Team for technical and resource assistance.	
<u>TECHNICAL RESCUE TEAM</u>	
<p>Explain the duties, responsibilities, and actions that need to be taken by the first arriving DOF OIC on the following incidents:</p> <ul style="list-style-type: none"> • Confined Space • High Angle • Structural Collapse • Trench/Excavation Collapse • Heavy Transportation Accidents • Industrial/Farm Machinery Entrapment 	
<u>SEARCH RESCUE DIVE TEAM</u>	
<p>Explain the duties, responsibilities, and actions that need to be taken by the first arriving DOF OIC on the following incidents:</p> <ul style="list-style-type: none"> • Water/Ice Rescue 	

<u>PRE-INCIDENT PLANNING</u>	<u>DATE/Rating LT or CPT (Initials & Printed)</u>
<p>Given an actual structure in your district, be able to demonstrate the ability to complete a Pre-Fire Analysis (Pre-Plan). <i>The candidate shall include a copy of this Pre-Fire Analysis in their precepting manual.</i></p>	
<p>Given the proper resources (water book, intranet access, GIS, MDT) be able to demonstrate a working knowledge of the pipe sizes and available fire flows for residential, business, and industrial districts within the candidate's assigned district.</p>	
<p>Demonstrate a basic understanding of the Henrico County Emergency Operations Plan and the DOF's role during a disaster or large scale emergency.</p>	
<p><u>FIRE INVESTIGATIONS & PREVENTION</u> (IFSTA Company Officer, FMO)</p>	
<p>Given actual or simulated photographs and/or sketches, be able to determine the areas of origin of a fire.</p>	
<p>Given a simulated intentionally set fire, be able to explain or demonstrate:</p> <ul style="list-style-type: none"> • The proper procedure for locating and preserving potential evidence of arson for collection by the FMO • The correct procedure for obtaining witness information 	
<p>Explain the factors to be considered upon arrival on a fire scene which may indicate an incendiary fire.</p>	

<u>FIRE INVESTIGATIONS & PREVENTION</u>	<u>DATE/Rating LT or CPT (Initials & Printed)</u>
Given a simulated fire, demonstrate the proper procedures for securing and controlling the fire scene, and maintaining the chain of custody until the appropriate investigative personnel arrive.	
Given a summary of the methods most generally used by persons setting fires, be able to describe how these methods can be detected.	
Given a summary of the motives for illegally setting fires, be able to describe how the motives can be used by an investigator to determine a likely suspect.	
Explain or demonstrate the guidelines and procedures for contacting the FMO with regard to a field incident.	
Explain the special procedure when completing fire reports involving juveniles.	
Demonstrate and explain how to access current and past inspections in Red Alert and how to enter inspection data into the system.	
<u>EQUIPMENT</u>	
Demonstrate by actual performance and explanation, the proper procedure for conducting annual service test for fire hose.	
Be able to explain the procedure for sending damaged fire hose for repair.	

<u>EQUIPMENT</u>	<u>DATE/Rating LT or CPT (Initials & Printed)</u>
Be able to explain the procedure to contacting One-Stop for station repairs, and the procedure for signing and forwarding receipts for station repairs.	
Be able to explain the procedure for having station Bio-Hazard boxes picked up for disposal.	
Be able to explain the procedure for having apparatus repairs completed.	
<u>TECHNOLOGY</u>	
Demonstrate how to enter/update staffing in RedAlert NMX.	
Demonstrate how to utilize the MDT.	
Demonstrate how to complete NFRIS fire reports, including first and second due reports.	
Demonstrate how to enter leave, transfers, and special assignments in PMOI.	
<p>Demonstrate the following skills concerning the Day Log Program:</p> <ul style="list-style-type: none"> • Staffing • Leave • Training • Special Activities • Printing • Printing past Day logs • Printing reports 	

<u>TECHNOLOGY</u>	<u>DATE/Rating LT or CPT (Initials & Printed)</u>
Be able to explain the difference between Workman's Compensation Paperwork and Minor Injury reports.	
Given a simulated injury, be able to complete all required Workman's Compensation Paperwork and explain the time requirements for submittal to the office.	
Be able to explain the procedure for reporting IT related problems.	
A copy of the lesson plan for the classroom fire or EMS related topic is included in the final packet.	
A copy of the lesson plan for the practical fire or EMS related topic is included in the final packet.	
A copy of the completed Pre-Fire Analysis is included in the final packet.	

SECTION IV

SCENARIO SECTION

SCENARIO SECTION

Instructions

- This section consists of 25 days of scenario based training based on situations that you may face as an Acting Officer.
- Each day consists of station responsibilities, personnel encounters, and incident responses. ***You must type your answers/what you would do for each day and include these in your final packet.***
- Some scenarios will require the completion of paperwork. ***This completed paperwork must be included in your final packet.***
- Some incidents require the completion of fire report. These can be completed using the RedAlert Training Program. ***NOTE: You must request a unit number from Fire Training to complete these reports. You can only complete the calls under your assigned "unit number". Copies of these completed fire reports must be included in your final packet.***
- It is recommended to do only one day at time and discuss your answers/the scenarios with your supervisor and shift. Example. Complete Day 1 on a Wed, then on Tuesday discuss your answers and get input from your rating Lieutenant or Captain.
- Your rating Lieutenant or Captain must sign off on the "Scenario Section" check sheet indicating that each day was completed.

AO CANDIDATE NAME: _____

ACTING OFFICER SCENARIO CHECK-SHEET

SCENARIO DAY	<u>DATE/Rating LT or CPT (Initials & Printed)</u>
1	
2	
3	
4	
5	
6	
7	
8	
9	
10	
11	
12	
13	
14	
15	
16	
17	
18	
19	

SCENARIO DAY	<u>DATE/Rating LT or CPT (Initials & Printed)</u>
20	
21	
22	
23	
24	
25	

SEE THE “25 DAY FILE” FOR THE SCENARIOS

PRINTED CALL REPORTS

Printed call reports are required for the following incidents. These are to be completed on the RedAlert Training Program. For questions concerning the use of the RedAlert Training Program, please contact [Fire Training at 501-5968](tel:501-5968).

Only complete reports under your assigned “Unit Number”. There may be additional calls under your assigned Unit Number, but you only have to complete the below calls. Printed copies of these reports must be included in your final packet.

DAY	ADDRESS	REPORT TYPE	COMPLETED AND PRINTED
2	195N @ Chamberlayne Rd.	Primary Unit	
3	210 Engleside Drive	Primary Unit	
5	1700 Lakeside Ave	Primary Unit	
6	Deep Run Rec Center 9910 Ridgefield Pkwy	Primary Unit	
8	Laburnum Ave @ Chatham Drive	Primary Unit	
9	Laburnum Elementary School 500 Meriwether Ave	Primary Unit	
11	Westminster Canterbury 1600 Westbrook Ave, Apt. 252	2nd in report	
17	195N @ Parham	Primary Unit	
23	BYOC Mobile Home Park 643 Walsing Drive	Primary Unit	

SECTION V

PRACTICAL EVALUATION SECTION

PRACTICAL EVALUATION SECTION

Instructions

- In this section you will serve as the Acting Officer for a minimum of 14 days*, riding in the officer's seat, and taking responsibility for decision making and the shifts activities under the supervision of your rating Lieutenant or Captain. The rating Lieutenant or Captain will ride in a jump seat position on the same unit as the AO candidate. The rating Lieutenant or Captain will not act as the DPO during the AO candidate's practical evaluation. Firefighters who are qualified Acting Officers are not permitted to supervise the Acting Officer Candidate for any of the 14 duty days.
- Each day, your rating Lieutenant or Captain will complete the Acting Officer Daily Evaluation Form. **These completed evaluation forms must be included in your final packet.**
- NOTE: You must print "Daily Evaluation" Sheet for each day you ride in charge.

* It is strongly recommended that candidates complete these 14 duty days as 24 hour shifts. Doing so offers the Candidate the most opportunity to participate in real experiential situations. It also provides the Rating Lieutenant/Captain the most opportunities to observe the Candidate in the real experiential situations. However, a duty day can best be described as a meaningful and significant portion of the day. Due to the relative call volumes of some DOF stations, it may be necessary for the Candidate and Rating Lieutenant/Captain to use a more creative approach. For example, those candidates assigned to "slower" call volume stations or units are encouraged to switch districts with a higher call volume station or unit for a significant portion of the duty day in order to increase the opportunity to run calls. This type of action must be coordinated through the appropriate Battalion Chief.

Henrico County Division of Fire

Acting Officer Daily Evaluation

Candidate Name:	Date of Evaluation:
Rating LT or CPT Name:	Day: (ex. Day 1):

Instructions: The Officer will complete the evaluation form and review it with the AO candidate. One evaluation form will be completed for each day the candidate serves as the OIC, with a minimum of 14 days (duty day = meaningful portion of a shift, 24hr periods are encouraged) serving in this capacity. Any score below a "3" should have brief details in the specific comments column.

Rating Criteria: See Evaluation Criteria chart for definitions of rating system numbers.

- 4: Performs skills/demonstrates appropriate knowledge base in a more than acceptable manner.
- 3: Performs skills/demonstrates appropriate knowledge base in an acceptable manner.
- 2: Not consistent in performing skills/demonstrating appropriate knowledge base.
- 1: Fails to meet minimum standards
- X: Not applicable. Candidate did not have the opportunity to show skill sets/knowledge.

EVALUATION FACTORS	RATING	COMMENTS
Perform appropriate actions based on DOF SOGs, policies, and procedures		
Ensured completion of all assigned daily duties <i>(Daysheet, station duties, weekly checks, etc)</i>		
Accurately completed all fire/EMS reports		
Demonstrated proper leadership skills <i>(Scene management, motivating, persuading, supporting others to accomplish team and organizational goals, planning, organizing, etc.)</i>		
Demonstrated proper decision making skills <i>(Scene management, utilization of resources, strategy & tactics, citizen encounters, etc.)</i>		

EVALUATION FACTORS	RATING	COMMENTS
Demonstrated proper communication skills <i>(Interpersonal skills, radio communications, citizen encounters, etc.)</i>		

Additional Comments: (Use back of form if necessary)

Rating LT or CPT Signature: _____

AO Candidate's Signature: _____

HENRICO COUNTY DIVISION OF FIRE

ACTING OFFICER DAILY EVALUATION CRITERIA

The following chart contains evaluation criteria to be objectively used as a reference by the AO Candidate and rating Lieutenant or Captain completing the evaluation form. These criteria can also be used as a reference tool for the Acting Officer Candidate when reviewing a completed evaluation. Specific criteria for each evaluation factor are listed in the following categories:

Rating Criteria:

- 4: Performs skills/demonstrates appropriate knowledge base in an above more than acceptable manner.
- 3: Performs skills/demonstrates appropriate knowledge base in an acceptable manner.
- 2: Not consistent in performing skills/demonstrating appropriate knowledge base.
- 1: Fails to meet minimum standards
- X: Not applicable. AO Candidate did not have the opportunity to show skill sets/knowledge.

Using the criteria listed below, compare each evaluation factor observed and record the numerical rating that most closely reflects the Acting Officer Candidates performance. Factors that are not observed should not be rated. Instead an "X" should be recorded.

EVALUATION FACTORS	1	2	3	4
Perform appropriate actions based on DOF SOGs, policies, and procedures	Frequently fails to follow DOF SOG's, policies, and procedures. Does not have an understanding of these SOG's, policies, and procedures.	Inconsistently follows DOF SOG's, policies, and procedures. Has some understanding of these SOG's, policies, and procedures.	Has a good understanding of the DOF SOG's, policies, and procedures; consistently follows them.	Always follows DOF SOG's, policies, and procedures. Has an intimate knowledge of these guidelines, policies and procedures, and can easily recall them.
Ensured completion of all assigned daily duties <i>(Daysheet, station duties, weekly checks, etc)</i>	Frequently fails to complete all assigned daily duties or ensure their completion.	Inconsistently completes all assigned daily duties or ensures their completion with direction.	Consistently completes all assigned daily duties or ensures their completion with some direction.	Always completes all assigned daily duties or ensures their completion with little to no direction.

EVALUATION FACTORS	1	2	3	4
Accurately completed all fire/EMS reports	Fails to produce accurate reports in a timely manner, which accurately reflects actual events.	Inconsistently produces complete reports in a timely manner, has numerous grammar and spelling errors.	Consistently produces complete reports in a timely manner, has few grammar and spelling errors.	Consistently produces well organized and complete reports in a timely manner. Correct spelling and grammar.
Demonstrated proper leadership skills <i>(Scene management, motivating, persuading, supporting others to accomplish team and organizational goals, planning, organizing, etc.)</i>	<p>Does not work effectively as a team member, fails to maintain a positive attitude, and is “not a team player”.</p> <p>Does not contribute to accomplishing team and organizational goals.</p>	Usually a team player. Does not always maintain a positive attitude, and may not contribute to accomplishing team and organizational goals.	Consistently works well in a team environment, maintains a positive attitude, and contributes to accomplishing team and organizational goals.	<p>Is a definite “team player.” Strives to incorporate others into team relationships, can work well with difficult people.</p> <p>Leads by example and encourages others to contribute to accomplish team and organizational goals.</p>
Demonstrated proper decision making skills <i>(Scene management, utilization of resources, strategy & tactics, citizen encounters, etc.)</i>	<p>Frequently fails to assess the scene in a timely manner, proceeds without caution, or does not identify hazards.</p> <p>Frequently fails to manage the scene and does not utilize personnel in a safe manner. Does not keep track of on scene personnel.</p> <p>Frequently fails to identify the need for additional resources.</p> <p>Frequently fails to use proper judgment and decision making skills when assessing a scene, needed resources, and strategy/tactics.</p>	<p>On several occasions, failed to properly assess the scene and proceeded in an unsafe manner.</p> <p>Inconsistently manages a scene and does not utilize personnel in a safe manner.</p> <p>Inconsistent when identifying the needs for additional resources.</p> <p>Uses proper judgment and decision making skills although needs assistance frequently to be pushed in the right direction.</p>	<p>Consistently assess the scene and proceeds in a safe manner.</p> <p>Consistently manages personnel safely and is able to keep track of on scene personnel.</p> <p>Consistently succeeds at identifying the need for resources.</p> <p>Frequently uses proper judgment and decision making skills when assessing a scene, needed resources, and strategy/tactics.</p>	<p>Consistently assesses the scene rapidly and accurately for hazards and proceeds only in a safe manner.</p> <p>Has above average management skills and keeps track of personnel in a safe and efficient manner.</p> <p>Quickly identifies the need for certain resources and utilizes them efficiently and in a timely manner. Shows superb judgment and decision making skills, takes into account all obvious and potential factors. Assists others with decisions.</p>

EVALUATION FACTORS	1	2	3	4
<p>Demonstrated proper communication skills <i>(Interpersonal skills, radio, telephone, and email communications, citizen encounters, etc.)</i></p>	<p>Fails to use a friendly and empathetic approach, unable to establish rapport, invites confrontation.</p> <p>Fails to utilize communication procedures or to minimize airtime with clear and concise speech.</p> <p>Frequently fails to speak clearly and concisely. Citizens and coworkers are unable to understand communications.</p>	<p>Does not always use a friendly and empathetic approach, cannot communicate with diverse populations.</p> <p>Inconsistent when utilizing communication procedures, is sometimes unclear and is inefficient with airtime.</p> <p>Usually speaks clearly, although in times of stress, speech is too fast or unclear. Words must be repeated frequently.</p>	<p>Consistently uses a friendly and empathetic approach, able to establish a rapport, and avoids making confrontational situations.</p> <p>Consistently utilizes communication procedures, minimizes airtime, and is efficient with clear and concise communications.</p> <p>Consistently speaks clear and slowly, others are easily able to identify the request or response.</p>	<p>Has above average knowledge of interpersonal communication and uses this knowledge to further interrupt responses.</p> <p>Shows above average with comfort, knowledge, and efficiency of communications systems.</p> <p>Speaks clearly and slowly during times of stress to ensure proper communications between personnel.</p>

END OF ACTING OFFICER PRECEPTING MANUAL

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