

AN INNOVATIVE MODEL FOR POLICE LEADERS AND
MANAGERS: FROM AN ANCIENT SOURCE
"THE ART OF WAR" BY SUN TZU

by

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ABSTRACT

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Crime has been perceived as a battle that has yet to be won within the United States, as in other countries as well. However, an ancient text over 2,500 years old has been used to achieve victory in many battles throughout history. The innovative leader, Sun Tzu created the thirteen chapter document called *The Art of War* which identifies principles and strategies that can be used to defeat and overcome one's enemy. The purpose of this study is to identify if strategies advocated by military leader Sun Tzu in his seminal work *The Art of War*, are applicable to modern day law enforcement leadership and management. The survey population consisted of police executives from major police departments in metropolitan North Texas. Respondents were given a "Character Assessment Rating Scale" survey that focused primarily on leadership characteristics. The second scale that was used illustrated statements from *The Art of War* with the intent to determine whether Tzu's principles are relevant to law enforcement leadership and management. The findings determined that the majority of the population implemented the leadership characteristics derived from the "Character Assessment Rating

Scale,” and also agreed with the statements taken from *The Art of War*. Nevertheless, additional research is needed to identify and understand the benefits.

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CHAPTER 1

INTRODUCTION

The purpose of this study is to identify if strategies advocated by military leader Sun Tzu in his seminal work, *The Art of War*, are applicable to modern law enforcement leadership and management. The 2,500 year old text has been revered by not only military leaders, but by other professionals as well. Most recently, Tzu's principles have been used by the business, political, and sport communities (Tzu, 2011). However, for administrative leaders in law enforcement, the principles of Sun Tzu have not been considered or utilized. In the law enforcement field, leadership and management are crucial elements needed for an effective and efficient organization.

Researchers within the field of criminology and the criminal justice system provide various definitions for leadership and management. However, the definition for leadership and management in this paper is derived from an article by Brian F. Kingshott. Kingshott (2006) states "leadership is the ability of an individual to influence, motivate, and enable others to contribute towards the effectiveness and success of an organization" (p.122). The definition for management consists of "guiding physical and human resources into dynamic organization units which should attain their objectives to the satisfaction of those served, and with a high degree of morale and a sense of attainment on the part of those rendering the service" (p. 127).

Created out of desperation during a time of hostility, around 500 B.C., the states that once divided what is now China were at war (Sawyer, 1994). Specifically, the states at war were Ch'u and Wu (Figure one). King Hu-lü of the Chinese state of Wu was encouraged to enlist the help of the alleged great warrior and philosopher, Sun Tzu, to help defeat the much larger state of Ch'u. After proving to King Hu-lü that his principles were superior, and when implemented would bring victory, the king appointed Sun Tzu commander of his army. Not only was he

appointed commander of 30,000 men, he was given the responsibility to defeating, the state of Ch'u, whose army was ten times larger (Padrush & Gornell, 2009). Since there is not a great deal of information regarding Sun Tzu, many have questioned his actual existence. Nevertheless, in regards to this paper, the primary focus consists of the principles of *The Art of War*.



Figure 1: Map of the State of Ch'u and Wu (Sawyer, 1994, p.78)

There are thirteen chapters within *The Art of War*, which offer guidance to overcome obstacles or an adversary. War is a complex and costly affair and with *The Art of War*, Tzu identifies what a general should anticipate, as well as, the psychological tools necessary to handle fluid battle situations. Tzu directs the reader towards victory and distinguishes crucial steps that need to be considered during the process. The following paragraphs briefly describe Tzu's thirteen principles of *The Art of War* divided into thirteen distinct chapters.

The first chapter describes the "initial estimations" or principles that are needed for building a victorious army, they include five factors: 1) the way (unity and a cause to fight for); 2) Heaven (seasons); 3) Earth (terrain); 4) the General (leader characteristics); and 5) the Laws (Sawyer, 1994, p. 167). The second principle explains the aspects of waging war. This principle

raises the question as to whether it is economically practical to go to war. The third principle essentially involves strategizing. This section illustrates various aspects associated with planning an attack, defeating the enemy without fighting, comparing strengths, and Tzu's "five essentials for victory" (Table one) (pp. 178-179). The fourth principle involves "tactical dispositions." In this chapter, Tzu claims that the outcome of the battle is primarily based on the decisions a general makes: "One who cannot be victorious assumes a defense posture; one who can be victorious attacks. In these circumstances by assuming a defensive posture, strength will be more than adequate, whereas in offensive actions it would be inadequate" (Sawyer, 1994, p183).

Table 1: Five Essentials for Victory

- "One who knows when he can fight, and when he cannot fight, will be victorious."
- "One who recognizes how to employ large and small numbers will be victorious."
- "One whose upper and lower ranks have the same desires will be victorious."
- "One who, fully prepared, awaits the unprepared will be victorious."
- "One whose general is capable and not interfered by the ruler will be victorious."

(Sawyer, 1994, pp. 178-179)

The fifth principle from *The Art of War* identifies strategic military power. Tzu explains that the way energy is distributed is crucial. He states "commanding a large number is like commanding a few. It is a question of dividing up the numbers" (Sawyer, 1994, p. 168). Tzu also explained that, "One who excels at warfare seeks [victory] through the strategic configuration of power, not from reliance of men" (Sawyer, 1994, p. 188). The sixth principle focuses on the enemy and their weaknesses and strengths. The next principle explains the importance of having control over "when and how" the battle is to occur. The eighth principle essentially consists of warnings for a general when he is in battle and how to overcome problems he encounters. The ninth principle consists of "maneuvering the army," and how to prepare and analyze different types of terrain. Tzu states, "It is sufficient for you to muster your own strength, analyze the enemy, and take them" (Sawyer, 1994, p. 210). A subsection within this chapter

discusses how to manage and command soldiers. The tenth principle highlights the hindrances that an army may face when traveling over diverse grounds (Sawyer, 1994).

The eleventh rule identifies certain situations that a general and his army might face in battle and how to overcome the obstacles with flexibility, unity, and by gathering resources (Dyke, 2010, p 25-27). The twelfth principle and chapter identifies procedural methods on how to attack an opponent. In this section, he warns generals who have short tempers and react recklessly, and states that thoughtless actions have grave consequences. The last principle, chapter thirteen, emphasizes the benefits of employing spies. Tzu stated that “enlightened rulers and sagacious generals who are able to get intelligent spies will invariably attain great achievements” (Sawyer, 1994, p.233). The purpose of the employments of spies, Tzu claimed that “through knowledge gained from them, you can recruit both local and internal spies” (Sawyer, 1994p. 232)

Sun Tzu created his philosophical doctrine for success in the battlefield (Sawyer, 1994). The thirteen chapters are distinct and imperative to the individual who is in search of victory. The principles consist of thoughtful tactical preparation for a triumphant victory over enemies. With more of a psychological approach, Tzu uses deception, wisdom, and strength, to guide individuals through a journey of mental expansion (*Sun Tzu*, 2011). Yet, from the thirteen chapters only ten principles can be associated with leadership and management, chapter’s one through five and eight through twelve.

Chapter’s one through five focuses on planning, identifying resources, tactical disposition, and the distribution of energy. In chapters eight through twelve, leaders and managers can also benefit from Tzu’s strategies, including management of discipline, responsibilities of the leader, and the importance of unifying soldiers or subordinates. The use of Tzu’s book within law enforcement can change law enforcement’s knowledge of criminal offenders, and how they interact with one another as an organization. Unity and organization are some of the important elements that Tzu advocates in *The Art of War* (Sawyer, 1994).

Tzu's principles regarding leadership and management for law enforcement have not been previously examined or investigated. However, there is a substantial amount of evidence illustrating other professions utilizing the principles from *The Art of War*. Nevertheless, there are researchers and individuals within the law enforcement profession that question the use of principles traditionally associated with military campaigns and organization. Although there has been no research regarding the principles of *The Art of War* within law enforcement administration, research could prove beneficial to leaders and managers alike.

The principles of *The Art of War* have been used in a variety of fields. The strategies that are used consist of "knowing ones enemies" as well as "knowing oneself" (Sawyer, 1994, p.197). Many military and business leaders have used Tzu's doctrine to better educate themselves regarding their competitors. In general, regardless of title, many people have used Tzu's philosophical teachings in order to combat public or personal obstacles. As stated previously, many have used his teachings including widely known individuals throughout history, "Napoleon Bonaparte and possibly by certain members of the Nazi High Command, and U.S. military leaders" (Sawyer, 1994, p. 79). These individuals used *The Art of War* for military purposes.

However, what is not known regarding the principles of Sun Tzu is its potential effectiveness in law enforcement leadership and management. The current policing management system is quite complex and restrictive. This paper will explain how the teachings of Sun Tzu provide a new strategic approach to today's modern day law enforcement, and how to better manage internal and external factors within the community and the department. The internal perspective consists of "organization, designing strategies and programs, acquiring staff and other resources, and managing people" (Cordner & Kenney, 1996, p. v). The external perspective essentially consists of environmental factors that revolve around law enforcement, politicians and other government agencies, the court's, media, labor unions, professional police associations, business leaders, community groups, and individual citizens (Cordner & Kenney,

1996, p. vi). Each internal and external factor is significantly different, yet similar in their importance to the stability of the organization and its relationship within the community.

Whether it is an individual who leads a team to success or a general who guides his soldiers to victory, the role of a leader is quite significant and crucial. The characteristics a leader possesses are the determining factors to how followers will work as a team, unit, organization, or company. Sun Tzu stated that an ideal “general encompasses wisdom, credibility, benevolence, courage, and strictness” (Sawyer, 1994, p. 167).

In regards to the limitations of this study, there are two which hinder the adaptability of the research. The first is the lack of previous research regarding the principles of *The Art of War* within the law enforcement administration. Secondly, Sun Tzu’s principles were written more than 2,500 years ago and therefore may be considered out-of-date and unreliable in today’s world (Sawyer, 1994). On the other hand, the benefits that may possibly arise as a result of this study and statistical analysis overshadow its limitations.

In the next chapter, the literature review will identify previous research from the military field regarding leadership and management styles. It will also include business and marketing articles pertaining to leadership and management, and finally miscellaneous articles that constitute various fields that have used the principles of *The Art of War*.

CHAPTER 2

LITERATURE REVIEW

The primary purpose for the creation of *The Art of War* was exclusively for warfare and military personal. Yet, as time passed the book was translated into many languages. Individuals and governments have come to appreciate the teachings for their own goals whether personal, corporate, or communal. Nevertheless, the military is essentially the largest field that has benefited from the book and its teachings.

Today's technology ideally mirrors the current state of the United States of America and how various countries differ from one another. However, it is the United States military that provides the optimum platform for technological and organizational development. Some may consider striving to become a superior scientific arsenal and intellectual country as pretentious. However, one of the critical factors that Sun Tzu stresses in chapter three that is the "one who is fully prepared, and awaits the unprepared will be victorious" (Sawyer, 1994, p. 179).

In the military, education is crucial. Obviously, learning to become part of a team and to trust one another and the concepts of battle is significant. However, learning about the enemy is equally vital. Modern day strategists utilize Tzu's principles from *The Art of War* to overcome potential advisories. In fact, Wang and Stamper (2002), claim that Chinese strategists are taking an intellectual route to find non-traditional means of defeating a military superior country such as the United States. With the use of information warfare (IW), and the principles of Sun Tzu, Wang and Stamper (2002) analyze the concept of "asymmetric war" which is "defined as the use of surprise force by a weaker party against a stronger but vulnerable adversary" (p. 167). As technology progresses, cyber terrorism is daunting for any computer dependent country and society. Wang and Stamper (2002) state, that this dependency necessitates combining ancient philosophy and IW to create a strategy for today's technological age and the future.

“Know thy enemy, know yourself, your victory will never be endangered” (Sawyer, 1994, p. 179). Sun Tzu proclaimed that although it is crucial to understand what qualities a general or army has, Tzu believed that observing intelligence is critical when attaining the information of an advisory. Cohen (2007), states that on the War on Terror, it is decisive to comprehend and understand the various cultural differences between countries, such as Iraq, Pakistan, and Afghanistan. Cohen examines and explains the War on Terror and argues that the United State’s political and military leaders’ lack of understanding of their enemies has resulted in a prolonged war (2007, pp.4 & 53)

As a result of the egregious events of September 11, 2001, some claim that political and military leaders have in fact used tactics from *The Art of War* in the War on Terror. Morgan (2005) suggests that Operation Iraqi Freedom was influenced by Sun Tzu in the decision to go to war. However, in order to grasp a better understanding of the use of the principles of *The Art of War* in the destructive relationship between the United States and Iraq, Morgan suggests that it is necessary to examine the history of the relationship in order to understand the current state of affairs.

Sun Tzu stated that every general should evaluate themselves as well as their adversary in order to determine who was superior. Subsequently, Tzu created seven questions to help a general answer the question “Am I stronger than my advisory?” or “Will I win this war?” The general who answers the seven questions will find the answers. Tzu claimed that a general, who has the most positive answers regarding his own army and his adversary, will be victorious in battle. The seven questions are as follows:

Table 2: Seven Questions for Consideration

1. Which of the two sovereigns is imbued with the Moral Law?
2. Which of the two generals has most ability?
3. With whom lie the advantages derived from Heaven and Earth? (Heaven and Earth are the external factors. Heaven consist of external factors that are always changing such as weather or the economy. Whereas Earth consists of external factors that remain constant such as geography, roads, and laws.)
4. On which side is discipline most rigorously enforced?
5. Which army is stronger?

Table 2: *Continued*

6. On which side are officers and men more highly trained?
7. In which army is there the greatest constancy both in reward and punishment?
(Dyke, 2010)

Another aspect of evaluating one's enemy is to identify their weaknesses. According to Bartley (2005), Osama bin Laden was able to use the principles of *The Art of War* against the United States. Bartley also explains how a smaller adversary can cause a larger opponent difficulty. Bartley analyzed the principles of Sun Tzu and the actions of Osama bin Laden to identify certain characteristics that mirror the principles of *The Art of War*. According to Tzu, the Moral Law, which comprises one of the five factors in chapter one of *The Art of War*, constitutes the outcome of a battle. This internal factor gives the leader the ability to control unity within a military force (Dyke, 2010). It is this factor that provides the soldiers with the belief that what they are fighting for is right and worth their own life. When belief is used as a justification for a war, terrorists are in the ideal state of believing their actions reflect a superior Moral Law (Bartley, 2005).

Bartley also identifies other principles found in *The Art of War*, including planning, training, tactics, spies and espionage (Bartley, 2005). Each of the factors identifies diverse yet crucial tools for preparing for a battle. Sun Tzu states that "the general who wins a battle makes many calculations in his temple before the battle is fought" (Sawyer, 1994, p. 168). When Osama bin Laden organized an attack, he followed this ideal verbatim. Bartley states that when planning an attack, bin Laden defined three stages before authorizing an attack. The phases include, gathering intelligence, arriving at the target area, and organizing safe houses and vehicles (Bartley, 2005).

Each of the principles is vital when used to their fullest potential. For example, Osama bin Laden had extremists who for religious purposes were willing to commit suicide for their cause. The men and women are instructed to handle dangerous weapons and are willing to employ certain "guerrilla tactics" that make them personally extremely dangerous and volatile

weapons (Bartley, 2005). As for using spies and espionage, Tzu believed that individuals who were double agents were crucial to tactical planning strategies (Sawyer, 1994). Bartley claims that Osama bin Laden took advantage of this principle and created an advanced “network” that gathers information about the United States (Bartley, 2005, p.245).

Although Tzu discusses certain strategic elements for battle, he also explains how “subjugating the enemy’s army without fighting is the true pinnacle of excellence” (Sawyer, 1994, p. 177). In concurrence, Col. Martin Jr. (2005), of the United States Air Force (USAF), describes how the presence of the USAF within the Taiwan Strait has reduced potential conflict with China. Martin explains that Tzu’s principle of “subjugating the enemy’s army without fighting” not only has the ability to prevent a war, but the ability to also safe guard the United States of America’s resources and assure economic stability. He also “suggests that the United States use all instruments of national power in a Sun Tzu-like strategy, to help achieve desirable outcomes in case of conflict” (Martin, 2005, p. 64).

Although it is crucial to prepare for the future, it is critical to understand the past. Wilson (2008) describes how the philosophy of Tzu lives on not only within the military field, but is also utilized in business, marketing, and competitive sports. The author notes that Sun Tzu’s principles are taught to high school students in China along with other significant historical events (Wilson, 2008). The significance of learning the principles of Sun Tzu is not only for historical purposes regarding war, the author stresses that other social elements can benefit from *The Art of War*. When examined, *The Art of War* also emphasizes other factors including economic, strategic, logistic and resourcefulness when assessing whether or not a nation should or can afford to go to war (Wilson, 2008). For example, Tzu states that war is costly, not only in lives, but for a nation’s economic state as well (Sawyer, 1994). This is why it is crucial to analyze and identify whether or not war is the best decision.

The position of the general is quite significant to Sun Tzu. How a general commands his army is essentially an indicator of whether the soldiers are a cohesive group and are willing to

give their lives for the overall cause of the nation and for their leader. Fincher (1995) agrees and describes the importance of the role of the leader and the making of decisions. Fincher illustrates the use of the principles of *The Art of War* and how beneficial the doctrine has been to the military, and he stresses how other leaders from other professions could utilize them.

Although Fincher explains and emphasizes the use of the ancient book, he also identifies how in higher education there are far too many “anecdotes” to what it takes to become a leader (Fincher, 1995, p. 708). Essentially, Fincher claim’s that when one is taught a wide variety of lessons regarding leadership, one fails to recognize what does work. He claims *The Art of War’s* principles are a better form of instruction, for the reason that, not only are the principles credible, they also have a universal aspect that applies to every field and everyone (Fincher, 1995).

Sun Tzu identifies characteristics that a leader (general) should attain in order to fit his criteria of a superior leader. The qualities Tzu claimed a superior leader should attain are “wisdom, sincerity, benevolence, courage and strictness” (Sawyer, 1994, p. 167). Tzu stated that someone who lacks one, or exceeds in only one of these traits, will falter either strategically or logistically. In order to identify who can become a leader, one must analyze and assess their character. Researchers, Barlow, Jordan, and Hendrix (2003) explain that there are different levels of leadership, and an assessment that can identify which traits are prevalent. Hendrix devised a test instrument to help assess the attributes of potential leaders from leadership characteristics which can also be derived from the principles of *The Art of War*.

They conducted a test consisting of a “two character assessment instruments” which was administrated to one thousand managers from “early-, mid-, and mature-level managers” (Barlow, Jordan, & Hendrix, 2003, p. 563). The authors describe “early” level managers or “lower” level managers as leaders who “provide to keep things operational” (p. 569). Whereas “mid” level “leaders can interpolate structure” and “mature” or “top” level managers introduce structure (p. 569).

Interestingly, the findings of this test consisted of a gradual increase of traits. The authors explain this phenomenon as a form of acquiring what is needed. Essentially, the authors found that “different levels in the organization required different types of leadership skills” (Barlow, et al., 2003, p. 577). For example mid-level managers do not have the same leadership characteristics as a mature-level manager. The reason for this is that every manager has their own purpose in the entire organization, and thus their responsibilities differ for each level of management (Barlow, et al., 2003).

Barlow, Jordan, and Hendrix (2003) also illustrate a character model survey. The purpose of the survey was to identify how to categorize individuals who may or may not have certain leadership skills. The questionnaire consisted of “twelve dimensions of the concept of character” (p. 579).

Table 3: Character Assessment Rating Scale Characteristics Defined

1. **Integrity.** Consistently adhering to a moral or ethical code or standard. A person who consistently chooses to do the “right thing when faced with alternate choices.
2. **Honesty.** Consistently being truthful with others.
3. **Loyalty.** Being devoted and committed to one’s organization, supervisors, coworkers, and subordinates.
4. **Selflessness.** Genuinely concerned about the welfare of others and willing to sacrifice one’s personal interest for other and their organization.
5. **Compassion.** Concern for the suffering or welfare of others and provides aid or shows mercy for others.
6. **Competency.** Capable of performing tasks assigned in a superior fashion and excels in all task assignments. Is effective and efficient.
7. **Respectfulness.** Shows esteem for, and consideration and appreciation of other people.
8. **Fairness.** Treats people in an equitable, impartial, and just manner.
9. **Responsibility and Self-Discipline.** Can be depended upon to make rational and logical decisions and to do tasks assigned. Can perform tasks assigned without supervision.
10. **Decisiveness.** Capable of making logical and effective decisions in a timely manner. Does not “Shoot From the Hip,” but does promptly make a good decision after considering data appropriate to the decision.
11. **Spiritual Appreciation.** Values the spiritual diversity among individuals with different backgrounds and cultures and respects all individuals’ rights to differ from others in their beliefs.
12. **Cooperativeness.** Willingness to work or act together with others in accomplishing a task or some common end or purpose.

Each of the twelve characteristics can be found within Tzu's military book. Sun Tzu describes throughout the thirteen chapters certain characteristics that are needed for a leader to be victorious in battle. Tzu noted that a "general encompasses wisdom, credibility, benevolence, courage, and strictness" (Sawyer, 1994, p. 167). Wisdom can be interpreted as competency and decisiveness, credibility to integrity, and benevolence to selflessness, compassion, and fairness. Tzu states that, "Fighting with a large number is like fighting with a few. It is a question of configuration and designation" which can be interpreted as cooperativeness, responsibility and self-discipline (Sawyer, 1994, p. 168). Spiritual appreciation, honesty and loyalty are found in Tzu's first principle, "the way," which "causes the people to be fully in accord with the ruler; they will die with him; they will live with him and not fear danger" (Sawyer, 1994, p. 168). Finally, respectfulness can be translated as matching Tzu's principle, "the laws" (Sawyer, 1994, p.168).

Vito, Walsh, and Kunselman (2005) explain that there are five unequal challenges from community policing that police leaders and managers face. The first states that managers have difficulty "establishing and maintaining community involvement." (p. 498). It is stressed that citizens only participate as a group when they feel that there is a need for change within the community. The second managerial struggle is a "lack of definition." Police managers claim that community policing programs "try to be all things to all people" when in effect causes a flawed organizational structure (p. 499). A strategy that lacks organization or definition, will result in disorder and deviation from the goal.

The third problem police manager's face is "organizational structure and managerial culture" (Vito, et al., 2005, p. 500). Officers state that departmental statutes encumber the power of the individual officer. This problem creates unnecessary disciplinary actions, instead of using experience "as a basis for training and effective supervision" (p. 501). The fourth obstacle that managerial officers face involves "specialized units/innovation ghetto" (p. 502). Managers state that police officers who work in "specialized units/innovation ghetto" do so for "unofficial" reasons, and are not willing to make a difference within the community (pp. 501-502).

The fifth and final obstacle that researchers identify is the “failure of leadership” (Vito, et al., 2005, p. 503). Many managers claim that their chiefs fail to show “commitment” to the community policing program. They argue “that without the chiefs support, these programs are doomed” (p. 503). Sun Tzu states that guidance from an excellent leader is the determining factor for the state of the army and a battle. While battling against the much larger army of Ch’u, Tzu knew what it meant to be a superior leader. He also knew when it was wise to fight or retreat (Sawyer, 1994).

Kingshott (2006) identifies and describes the terms, leadership and management, in order to distinguish what qualities each position requires for success. Kingshott’s definition of a leader and what type of traits he/she possesses mirrors that of Tzu’s definition. However, the definition of management is notably different. Kingshott describes management as

guiding physical and human resources into dynamic organization units which should attain their objectives to the satisfaction of those served, and with a high degree of morale and a sense of attainment on the part of those rendering the service. (Kingshott, 2006, p. 127).

In order to sufficiently run an organization or lead a group of individuals to reach a common goal, appropriate leadership and management are needed. Kingshott (2006) stresses that leadership and management are in fact different. However, it is crucial that both be in sequence with one another in order for there to be structure and organization (Kingshott, 2006). Leadership determines whether personal morale and goal objectives are achieved within the organization. Whereas management primarily focuses on the “logistical” aspect of department stability, however, when both are combined they “achieve an efficient and effective police service” (Kingshott, 2006, p. 134).

Sun Tzu strongly believed that the characteristics of a leader should meet specific requirements in order to succeed in the field of battle. Haberfeld (2006) also agrees and identifies various aspects that classify an individual as a leader, including traits, and training. Haberfeld states that “leaders are both born and made” (Haberfeld, 2006, p. 1). He stresses that

police academies should test individuals who might have certain leadership qualities and create a program that enhances and strengthens those specific skills (Haberfeld, 2006).

Haberfeld explains three distinct skills that are used and needed within law enforcement which consists of “human relation, conceptual, and technical skills, (Haberfeld, 2006, pp. 1-2). Human relation skills are identified as being able to “get along with others, reflect a capacity to work effectively in an organization,” whereas conceptual skills consist of “the ability to generate, consider, and use ideas” (p.198). A technical skill “refers to the specific methods and techniques associated with a profession (p. 198). Each of the identified skills is needed to successfully operate an institution or organization. Although there are certain skills that are needed as an administrative leader within law enforcement, Haberfeld, explains what he believes needs to be included in the definition of a law enforcement leader. He states, “The definition of police leadership must include *the ability to make a split-second decision and take control of a potentially high-voltage situation that evolves on the street. It is time to recognize this reality and equip officers with the necessary tools.*” (Haberfeld, 2006, p. 3).

Haberfeld also discusses four distinct theories of leadership, Great Man and genetic theories, trait theory, behavioral explanations, and situational theories (Haberfeld, 2006). Each identifies diverse explanations of what defines a leader, as well as, how a leader is created. He stresses that a leader must analyze their personal and behavioral characteristics in order to identify whether he/she is capable of fitting the qualifications of a leader. Although one may have certain traits of a leader, Haberfeld emphasizes that this is not sufficient, training is also needed.

Haberfeld (2006) claims that “leadership scholars underemphasize leadership ethics” (p. 16). As an organization, there are certain elements needed from the leader and subordinates in order for the organization to be successful. Tzu states that “the general is the supporting pillar of state. If his talents are all-encompassing, the state will invariably be strong. If the supporting pillar is marked by fissures, the state will invariably grow weak” (Sawyer, 1994, p.178).

Haberfeld states that trust, cooperation, motivation, and support are critical for an interconnected work environment (Haerheld, 2006). Although these elements are needed from subordinates, a much higher regard is expected from the leader, as Herberfeld professes “Leaders are to encourage followers to develop a set of values that emphasizes justice, liberty, and equality” (Haberfeld, 2006, p. 16).

Throughout *The Art of War* Tzu identifies strategies regarding how to defeat one’s enemy. As previously stated, external factors are crucially important elements police leaders must endure and handle. According to Hawdon (2008), “effective policing requires citizen cooperation” (Hawdon, 2008, p. 182). The author identifies how “legitimacy, trust, and social capital” are three important factors that influence how citizens view police officers (Hawdon, 2008, p. 188).

Every community has social/cultural and economic differences. Diversity is both an urban and rural characteristic. Hawdon states that understanding communities and their socioeconomic background is essential. Similar to Tzu’s principles regarding adapting to ones surroundings, the author claims that one distinctive policing style of leadership is not affective for every community. Hawdon stresses that educating oneself about a community and understanding its citizens will promote trust and legitimacy contributing to a better relationship between citizens and police officers (Hawdon, 2008).

In *The Art of War*, Tzu stresses that one needs to have the ability to determine if it is monetarily sound to go to war. Whether it is a nation, organization, or business, financial stability is vital, for the reason that, critical decisions revolve around an organization, business, or nation’s budget. The same decisions are made by police leaders within law enforcement. When a nation is economically weak, the repercussions are not only felt by businesses and citizens, but police officers also feel financial setbacks.

According to LaFrance and Placide (2009), elected sheriffs’ behavior differs when budgets are at stake. Sheriffs’ not only have the citizens of the community to answer to, they

also have government officials that restrict their decisions (LaFrance & Placide, 2009). After conducting a quasi-experiment within the mid-western counties of Illinois, Iowa, and Wisconsin, LaFrance and Placide found that “election versus appointment play a role in each executive’s decision making behaviors” (p. 238). The authors also state that elected officials tend to “cooperate with the local legislature,” whereas appointed “police chiefs are more likely to focus their efforts on intradepartmental management” (p. 238). Sun Tzu states in chapter three in *The Art of War* “one whose general is capable and not interfered with by the ruler will be victorious” (Sawyer, 1994, p. 179). Essentially Tzu claims that sheriffs’ should focus on their duties rather than appeasing local government officials.

While *The Art of War* has been translated into many languages so that many individuals can benefit from Tzu’s universal principles, Michaelson and Michaelson (2010) take a step further and change *The Art of War* into *The Art of War for Managers*. The principles originally created by Tzu have been translated to the vocabulary found in the field of business management. The authors take Tzu’s thirteen chapters and decipher his principles and describe how they can benefit managers within a business environment.

Tzu stated, in his first chapter that there are five factors which every general should know: moral influence (the Way), Weather (seasons), Earth (terrain), Commander (leader), and the Doctrine (the laws) (Sawyer, 1994). Michaelson and Michaelson identify the five factors as:

Table 4: Managerial Modification of Sun Tzu’s Five Factors

1. Moral influence means a “spirit of mission”
2. Weather equates to “outside forces”
3. Terrain is the “marketplace”
4. Commander has an equivalent in “leadership”
5. Doctrine is comparable to “guiding principles”

(Michaelson & Michaelson, 2010, p. 5)

The transformation of *The Art of War* to “The Art of War for Managers” serves to provide a better understanding of the lessons from Sun Tzu.

Michaelson and Michaelson (2010) also have provided “Manager Examples” to help explain how the principles of *The Art of War* have assisted various managers from different countries around the world. One of the examples concerns Peter Brennan who is the retired President of Daymon Associates which is a company that handles private relations between companies and “represent over 5,000 suppliers in twenty-four countries” (p.165). Brennan states, “Sun Tzu says, ‘Nothing is more difficult than the art of maneuvering for seizing favorable positions beforehand,’ he goes on to say, “Our company headquarters became an intelligence center where more knowledge developed with universal applications to most areas of the business” (Michaelson & Michaelson, 2010, p. 165). Regardless of the military origins of *The Art of War*, Brennan claims its use has benefited Daymon Associates.

There are certain elements that a leader must overcome to attain victory. Whether it is internal or external, a police leader or manager essentially handles numerous elements that challenge their ability to make decisions. However, Tzu identifies these struggles and explains them throughout *The Art of War*. He identifies and acknowledges how to handle such obstacles. Tzu states that it is essential to take the time, make a strategy, and analyze the situation one is in, in order to prevail (Sawyer, 1994). In our current society, marketing and advertisements surround us each day. Whether it is through an unforgettable jingle, characterized spokesman or women, or through a slogan, businesses are at “war” striving for new customers’ every day.

While constantly struggling to overpower their opponents, businesses look for new strategies to attain the upper hand over their adversaries. In the 1980’s, a new trend developed in the world of business that involved military strategic methods. Winter (1981) identified “Guerilla Marketing Warfare” as seminars that help small cooperation’s compete against larger opponents. The seminars were based upon the teachings of Sun Tzu and other significant military leaders. The translation from military to business vocabulary was crucial to help

business men and women understand the principles of *The Art of War*. For example, “defense is role of the *leader*, *offensive* were No. 2 firms, and *flanking* illustrated third-tier companies” (Winter, 1981, p. 979).

In agreement, Floyd (1992) illustrates how certain elements within *The Art of War* are ideal for an organization and for managers. The use of Tzu’s strategies and the principles of management are a beneficial form of guidance for those with in the world of business. It is crucial to analyze whether a company is capable of challenging another company. For example, Tzu stressed that it is necessary to identify if one can afford, and has the ability, to go to battle.

Floyd also identifies an aspect that many overlook when reading *The Art of War*. Tzu clearly makes the distinction between the use of battle and how a superior leader can defeat their enemy without attacking. Floyd states this element is the “primary contribution” to victory (Floyd, 1992, p. 25). Not only does one save their resources, but time as well. Floyd also claims that it is the use of strategic intellect that prevails over force (Floyd, 1992). It is through strategic understanding that many businesses defeat their adversaries.

Many advertisements use monetary incentives as a strategic method to gain new consumers and to win costumers from other businesses. For example, soft drink companies have been at “war” for many years with price and convenience as the two main aspects of their battle strategies (Wee, 1994). The battle is not only within the United States, companies compete with organizations internationally as well. With constant competition, Wee (1994) identifies how relevant the principles of *The Art of War* can be in the field of business management. Wee identifies three aspects within a business that Tzu defines as beneficial: 1) managing change within an organization; 2) creating an adaptable organization; and 3) “the role of strategy in the change process” is crucial (Wee, 1994, p. 189).

Tzu describes how to manage change with the use of strategic planning and intelligence. Tzu claims that if one were to “know one’s enemy and one’s self,” the worry of victory would be minute (Sawyer, 1994, p. 179). However, in order to attain complete assurance

of victory, one must also know “Heaven and Earth (Sawyer, 1994, p. 215). Heaven consists of the weather or the economy that is always changing, while Earth remains constant such as geography, roads, and laws (Dyke, 2010). For this reason, combined internal and external factors are crucial to obtain victory. The ability to adapt to change and strategically evolve is essential, not only in the military but in the business field as well. It is the ability to be “flexible, innovative, and having initiative” that creates the ability to adapt to change without difficulty (Wee, 1994, pp. 191-193).

However, “the role of strategy in the change process” consists of organization and disciplined leadership (Wee, 1994, p. 194). Tzu states “to control a large force in combat is similar to that of a small force, it is a matter of formations and signals” (Sawyer, 1994, p. 187). Essentially, depending on what type of organizational state a business is in will determine if there is order or chaos. When a leader has the ability to attain an organized unit, the change process causes less damage to the team’s cohesiveness. The author states that in order for there to be structure, a strategy has to be formed (Wee, 1994).

As time has progressed, the use of *The Art of War* has been used in other areas within the business world. For instance, researchers, Wong, Maher, and Lee (1998) noted that international markets and stakeholders can benefit from Tzu’s principles as well. The researchers used the principles translated from *The Art of War* into a business model. For example, *weather* within the field of marketing consists of the “global environment,” whereas, the *terrain* is identified as “stakeholder relations and structural variables” (pp. 88-89).

However, the two stressed concepts consisted of effective leadership and systems. As stated previously, Tzu’s characteristics of what makes a superior leader consist of “wisdom, sincerity, benevolence, courage, and strictness” (Sawyer, 1994, p. 167). Once again Tzu’s principles are used to identify who should prevail as a leader within a business and or organization. Another aspect that Tzu expressed consisted of “systems” which the researchers

identified as a need of “a well constructed organizational configuration” (Wong, et al., 1998, p. 7). Essentially, logistics are the important part of executing plans within an organization.

Fernandez (2004) also concurs with researchers Wong, Maher, and Lee. Fernandez explains that a group that has a “common purpose, responsiveness to the environment, able leadership, and effective flow of information” has the means for a successful organization (p. 53). Although the vocabulary differs, the concept is essentially the same. This is why Fernandez stresses how influential the principles are in *The Art of War* for the field of management and marketing.

Fernandez poses the question that has been asked many times, “whether leaders are born or made” (p.58)? Fernandez describes individuals who strive intellectually and characteristically to fit the qualities of what makes a leader. Fernandez also explains that an individual who recognizes the potential of the principles of *The Art of War* will be a leader. The models that Fernandez demonstrates are two contrasting leadership models. The first model, as shown on Figure two (left) illustrates the leader in relation to their subordinates. While the second model (right) shows the leader within the middle of a circle. Fernandez describes the circle as a wheel, the leader in the middle (the hub), whereas the subordinates are the spokes. Fernandez states that if the hub (leader) is not strong enough, the wheel will cease to work (Fernandez, 2004). Essentially, without a strong leader the group is useless. As Tzu states, “there are many people relying on the leader” a leader must “work hard and be knowledgeable” to help his/her organization succeed (Dyke, 2010, p. 24).

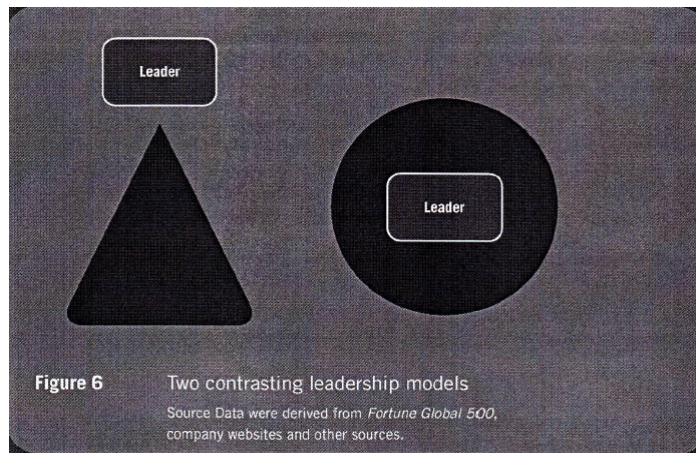


Figure 2: Two Contrasting Leadership Models
(Fernandez, 2004, p. 58)

A leader has to acknowledge and learn to adapt when change or challenges occur. Sun Tzu identifies these factors as “Heaven (external factors that are constantly changing) and Earth (external factors that stay the same)” (Sawyer, 1994, p. 167). Unlike other researchers, MacDonald and Neupert (2005) analyzed these aspects regarding marketing strategies.

There are six types of terrain that the MacDonald and Neupert discusses with the assistance of the principles of *The Art of War*: 1) “accessible terrain” in which different markets have “equal accessibility”; 2) “entangling,” in which the market creates increased desirability because of a lack of a “strong market leader”; 3) “indecisive terrain” identifies that each organization is not incautious to “show their hand.”; 4) “constricted terrain,” explains that the individual who moves first has the advantage over the individual who “comes late to the market”; 5) “precipitous terrain,” consists of the opponent attacking rival businesses, “because of the nature of the market”; and 6) “distant terrain” consists of a desirable market that is far from the business but close to the competitor (MacDonald & Neupert, 2005, pp. 295-297).

Understanding terrain is essential to Sun Tzu, however another aspect that he discusses is the ground on which a battle is fought. Tzu describes nine types of ground, each

distinctive and treacherous if one does not comprehend them: 1) dispersive; 2) frontier; 3) key ground; 4) communicating; 5) focal; 6) serious; 7) entrapping; 8) encircled; and 4) death ground (MacDonald & Neupert, 2005). In each of these types of ground, MacDonald and Neupert explain how each can be interpreted into the marketing field.

Dispersive ground is having the battle in the general's own territory. Tzu stated that although it might sound ideal, he warns that a leader might become too "comfortable" (p. 299). MacDonald & Neupert (2005) illustrates an example regarding the dominance of the Asian automotive makers in the United States. They claim that the United States automotive cooperations remained too comfortable and did not comprehend that a small Japanese manufacture company could dominate the United States market (MacDonald & Neupert, 2005). The next two types are called, frontier and communicating ground, in which the marketer are in a position where they are not willing to move forward. Whereas in key ground, both parties have the same advantages, in which the authors state, "you should fight to the death to defend it" (p. 299).

The next form of ground, consist of focal ground. Tzu describes this as "when a state is enclosed by three states, he who arrives first will gain the masses of All under Heaven" (Sawyer, 1994, p. 219). MacDonald and Neupert illustrate this type of ground with the online company "Amazon" and its strong "marketing presence." When the company transitioned to an "online book market their presence in the CD and apparel market" excelled (p. 300). Serious ground is essentially entering into enemy territory without the ability to withdraw without consequences (MacDonald & Neupert, 2005).

The next three types of ground were categorized under the same group. According to MacDonald and Neupert (2005), entrapping, encircled, and death ground are three types of situations in which a company finds itself "more susceptible to receive attacks from competitors" (p. 301). Essentially, each type identifies aspects in which competitors might threaten a company. Overall, MacDonald and Neupert have comprehended an aspect that many have

disregarded the concepts of terrain and ground. Although it is crucial to analyze what a leader is and how to create strategies, acknowledging the battlefield or the marketing field is equally vital.

Many have acknowledged Tzu's philosophical principles as wise. However, there are certain individuals that consider his principles fallible. According to Heath (2007) individuals within the field of business and marketing tend to rely heavily on Tzu's doctrine and overlook other certain aspects. Heath stresses that ethics have been over seen by business leaders and individuals in the marketing field. In fact he claims that *The Art of War* is far too often looked as an alternative study to business ethics. He goes on to say that individuals fail to review studies that offer "realistic advice that deal with the challenges that will arise in the corporate world" (p.372). Heath explains that if "implicit morality of the market" and business ethics were practiced rather than the use of *The Art of War*, they would "promote healthy forms of competition" (p.372).

Although Heath disagrees with the use of *The Art of War*, throughout history many forms of philosophical principles have been used for direction. Whether spiritual or philosophical, principles from Jesus, Buddha, Yogi Berra, Attila the Hun, and Sun Tzu have inspired many individuals. According to Heine (2008) the use of *The Art of War* is ideal when a business leader is in need of strategic and deceptive methods. Heine claims the use of devious techniques gives businesses an advantage over their "corporate rivals" (p. 127).

Within a business organization there are many elements that are needed to coexist in order to promote efficiency and productivity. Authors Ott, Parkes, and Simpson, (2010) describe various concepts regarding the complexities of organizational behavior. The authors identify six crucial factors that should be acknowledged when deciphering the multifaceted world of organizational behavior: 1) leadership; 2) motivation; 3) individuals in teams and groups; 4) effects of the work environment; 5) power and influence; and 6) organizational change (Ott, et al., 2010). Ott, Parkes, and Simpson, explain leadership in organizational behavior as a conductor that directs and determines the sound and flow of an orchestra. The authors also

identify three aspects needed in leadership to determine the state of the organization and internal behavior. The three aspects are, “to provide a system of communication, promote the securing of essential efforts, and to formulate and define the purposes and goals of an organization” (p. 33).

Ott, Parkes and Simpson stated described motivation as a continuum between rewards and punishments. They state “employees act logically, and that managers simply need to manipulate rewards and punishments rationally, fairly, and consistently” (p. 131). The third factor consists of individuals in teams and groups. The authors agree that individuals who are proficient, but are unable to work in a team environment, will hinder the achievement of attaining the organization’s goals. However, if an organization is capable of creating a team that is able to work proficiently with one another the output of the organization will be beneficial to the overall goal (Ott, et al., 2010).

The work environment is the fourth factor. This section primarily focuses on the environment rather than on the individual worker or specified group. Essentially, the authors describe that the overall atmosphere of an organization has a substantial effect on organizational behavior. The fifth factor consists of power and influence. The authors claim that if there is no profound agreement as to where the power lies, disorganization will result and the organization’s goals will be at risk (Ott, et al., 2010).

Ott, Parkes, and Simpson note that the sixth factor, organizational change, should be analyzed when exploring organizational behavior. The authors state that, “Change is the norm, not the exception” (p. 403). Although there is a sense of tranquility and cohesiveness, there could be a sudden change that will test the organizations stability. Ott, Parkes, and Simpson (2010), state that “the more alert the leaders are, the better the organization functions” and will undoubtedly handle change effortlessly.

In the world of business and marketing, Sun Tzu has had an immense impact on marketing strategies against rivaling businesses. However, there are certain individuals that

have used Tzu's principles to overcome their challenges regarding unlawful behavior. In retail security, Mendell (1995) illustrates how the strategic methods of *The Art of War* can help security management with parking lot crimes. Mendell explains that businesses are essentially at "war" with individuals who commit criminal acts against their businesses and customers.

The author identifies three factors that can be used to combat parking lot crimes from *The Art of War*: 1) deception; 2) avoidance of war by solving the underlying problems; and 3) attacking the enemy's plans and alliances as tools in combating criminal behavior (Mendell, 1995). Deceptive measures consist of understanding how the offence is committed and training the staff on how to identify and handle the offence and the offender. After security managers understand the offence and the offender, they can devise a strategic plan to handle the situation (Mendell, 1995).

The author states while identifying problems are critical, a security manager should find elements that restrict the offender(s) from committing an offence. For instance, analyzing parking lots and areas which could be beneficial to an offender. An example of what a parking lot could possess that an offender might use are dark areas which lack security, and objects which they could hide behind. Mendell explains that adding lighting, fencing, could restrict and hinder the plans of the individual(s) who decide to commit any type of criminal activity (Mendell, 1995). Essentially, security managers need to identify areas which attract "undesirables" in order to prevent further criminal activity (p. 49). Tzu states that encumbering the plans and breaking the adversary's alliances is crucial. In agreement, Mendell states that in order to hinder the enemy's plans and their alliances, businesses need to create a relationship with neighboring department stores and expand the store's invulnerability to criminal activity (Mendell, 1995).

Time and technology, as history has shown, go hand-in-hand, as one progresses so does the other. Within law enforcement, technology has contributed to the fight against crime, although it has also generated new forms of criminal activity. Savirimuthu (2008), states that "the online environment is now seen as the playground of criminals" (p. 120). He states that *The*

Art of War's principles are the optimum way to “manage and reduce the complexity of computer identity theft” (p.120).

The author identifies Tzu's strategic planning as one of the essential tools in understanding the elaborate challenges of how to prevent identity theft. Savirimuthu states that “online and offline” forms of landscapes, are essentially the same (p. 124). However, the only difference is the terminology and visualization. For example, managing secure information consists of supervising, “data, network infrastructures and devices.” (p. 125). This is also described in *The Art of War* as gathering intelligence, logistics, and military equipment (Sawyer, 1994). Nevertheless, the similarities between individuals preventing identity theft and generals battling an enemy are essentially the same.

Security has evolved from protecting a physical being or object to a technological creation that safe guards many objects. With the principles of *The Art of War*, a new type of security program has been created to be purposefully attacked in order to achieve the goal of identifying computer hackers (Bershad, 2002). According to Bershad (2002), “Honey pots” is a computer program created with the purpose of attracting hackers to attack a decoy program before the hackers attack the real program (p. 6). These deceptive measures were devised as a result of constant unlawful tampering and/or seizing of private information.

The purpose of the “Honey pots” is to conduct “a number of data security-related functions including, drawing hackers away from the targeted area, detection of security breaches and intelligence gathering” (p. 6). Essentially, the program gathers and tracks the activity of the hacker in order to identify the culprit for law enforcement or government officials and future prosecution. As Sun Tzu stated, “rouse him and learn the principles of his activity or inactivity, force him to reveal himself,” this principle essentially illustrate the techniques the “Honey pots” use to catch hackers (p. 6).

Sun Tzu explains that the use of deception is an ideal tool when combating enemies. Watson (2007) uses “Honey nets” and “Honey pots” as a tactic to get a better understanding of

what the hacker (enemy) wants within the program. Although these programs are used as a form of prevention, they also gather intelligence (Watson, 2007). "Honey nets" are a security computer programming system designed to "provide early warning and attack detection capabilities, or to alert organizations of potential insider threats" (p. 6). The author also states that many government agencies use this type of security system for national and international security.

2.1 Miscellaneous

This section illustrates additional fields that have used the principles of Sun Tzu. The title "miscellaneous" represents diversity ranging from, game theory, nursing, health care, to librarians. Although these professions differ, each illustrates *The Art of War's* universal use.

The Art of War has many benefits for individuals who are in search of guidance and has been used as an aid to achieve victory. However, Niou and Ordeshook (1994) claim that Tzu's principles lack certain aspects that "game theory" provides. The strategic advice Tzu provides "can be credited with having anticipated the concepts of various strategies but failed to intuit the full implications of the notion of equilibrium strategies" (p.161). The authors claim that *The Art of War* lacks a "mathematical precision" that could give a better understanding to strategic methods (p.162).

Game theory is described as a method used to understand strategic interactions with the use of mathematical equations. Essentially, it "seeks to isolate general, abstract principles of decision-making when the outcomes of people's choice depend on what others decide and when everyone is aware of their mutual interdependence" (p.162). Niou and Ordeshook, stress that although, *The Art of War* and "Game Theory," provide beneficial aspects to various individuals in need of their principles, they claim that each needs to be evaluated rather than focusing primarily on one.

The Art of War has been primarily used in the military, businesses, marketing, and in management. However, according to Tremayne (2008) regardless of what other academic

individuals profess, nurses can benefit from Tzu's principles as well, "as long as that individual is willing to imagine that they are generals fighting for the best in nursing care" (Tremayne, 2008, p. 14). Tremayne states that the five factors in the first chapter of *The Art of War* can help nursing leaders overcome administrative challenges. The first of the five factors is "the way." Sun Tzu explains this section as a cause or goal that unites the leader and his/her followers. The leader and the soldiers must have the same goal and willingness to fight for the same cause.

The second factor is "Heaven." Tzu states that a leader must acknowledge the weather and economic state (external factor's) before a battle. Tremayne explains that nursing leaders "must understand and prepare for uncontrollable changes in their environment" (Tremayne, 2008, p. 14). An example consists of making crucial decisions in a short amount of time as a result of a spontaneous problem or situation. The third factor is "the earth," in which the leader must know the terrain where the battle is to be fought (Sawyer, 1994). The Tremayne (2008) explains that the amount of workers in a certain clinical area determines whether there is order or disorder within the hospital or clinic.

The fourth factor is the characteristics of what makes a superior leader. Sun Tzu noted that an exceptional leader must attain "wisdom, credibility, benevolence, courage and strictness" in order to efficiently guide his followers (Sawyer, 1994, p. 167). The fifth and final factor consists of "method and discipline" which are internal factors a leader has control over. Internal factors are composed of management skills and business organization. Tzu stated that in order to have organization, the leader must exercise discipline. Essentially it is the management of individuals and the clarity of orders that identify whether an organization or nursing staff is well disciplined.

However, in politics, *The Art of War's* principles are used for strategic and defensive purposes. Health care is a government issue that has endured various challenges over many

years. Silver (1995) explains that principles from *The Art of War* have been used by political leaders in the argument over Health Care. The political strategies consist of understanding one's terrain, resources, attaining allies, executing plans that are simple, and "attacking without warning the enemies weakest point" (p. 308). The author stresses that within the world of politics, the fight for reform and for the implementation of new laws is perceived as fighting a battle against the opposing political party.

In agreement, Kempche (2002) states that librarians must also use the principles from *The Art of War* in order to be seen as equal to professors within a university. Kempche states that librarians have an immense impact on a students' knowledge regarding research and other literary tasks. He goes on to say that librarians "must be seen as equals by faculty" in order to be recognized as individuals of academic importance (p. 529). Kempche explains how the principles of *The Art of War* can assist the creation of "literacy programs." The literacy programs are essentially, a curriculum that aids in the teachings of literary and research procedures. Sun Tzu's philosophical principles are tools to help librarians overcome their struggle over perceived personal inferiority (Kempche, 2002). Kempche claims that, "From my perspective, Sun Tzu's wisdom can be used to identify strategies that result in increased influence, prestige and power—all necessary if we are to achieve our instructional mission" (p.537).

2.2 Literature Review Conclusion

The majority of the articles acknowledge *The Art of War* as an influential tool to aid various fields of study. However, there are two articles written by Heath (2007) and Niou and Ordwshook (1994), which stated that solely relying on *The Art of War* is not ideal in today's advanced society. Nevertheless, throughout time, many have undertaken Tzu's principles and translated them to fit their own particular needs. However, the majority of the articles regarding Sun Tzu's book are essentially theoretical and opinion based. The lack of quantitative studies is detrimental to *The Art of War's* potential effectiveness for law enforcement administration. Nevertheless, the articles that were analyzed demonstrate *The Art of War's* universal

adaptability. However, a fact of great importance seen throughout the articles, is the use of Tzu's principles from *The Art of War*, and how for over 2,500 they are still in use today (Sawyer, 1994).

CHAPTER 3

METHODOLOGY

The previous chapter described the principles of *The Art of War* and their application to various fields of study, and most importantly, to administration. The purpose of this study is to identify whether the principles of *The Art of War*, are applicable to modern day law enforcement leadership and management. However, due to the lack of qualitative and quantitative research regarding Tzu's principles within law enforcement, this examination purposes what could be an innovative model for law enforcement leaders and managers. This chapter consists of several sections that explain the methodology used in this study.

3.1 Subjects of the Study

The study measures law enforcement leaders and manager's perception contained in *The Art of War*. In addition, to whether they frequently implement certain characteristics while in command. The subjects of the study consisted of police executives from the major metropolitan police departments throughout North Texas. The independent variable in this analysis consisted of police executives from the major North Texas metropolitan police departments. The dependent variables are the characteristics from the "Character Assessment Rating Scale" (see APPENDIX A) and the principles from *The Art of War* (see APPENDIX B). The sampling was pre-determined and will not be randomized due to the population size.

The population sample consisted of eighty-five police departments with a 41.1% return of 35 departments. The number of subjects within the population was 136. Prior to the examination of the population and the acquirement of research, The University of Texas at Arlington's Institutional Review Board's (IRB) permission was attained according to federal standards and regulations.

3.2 Measurement

The instrument developed for this study illustrates whether police leaders and managers utilize specific leadership characteristics, as well as their opinion from *The Art of War* principles, and whether they believe they are applicable to contemporary law enforcement administration. The instrument consists of two measurement scales and six demographic questions. The first scale consists of questions that were previously-developed by William H. Hendrix (2003). This measurement tool is formatted in a Likert Scale and asked the individual taking the survey to identify if he/she uses the identified characteristic. They were given the option of marking if they utilize the characteristic, rarely, sometimes, neutral, most of the time, or all of the time (see APPENDIX A). There are two reasons for the use of this scale: first, Hendrix (2003) claimed that an individual, who implements the provided characteristic illustrated in the "Character Assessment Rating Scale," has the potential of becoming a distinguished leader; and secondly, the twelve provided characteristic in the "Character Assessment Rating Scale" (see APPENDIX A) can be found within the first five factors in chapter one, and throughout various other chapters in *The Art of War*.

The second measurement instrument used consists of various statements from the thirteen chapters of *The Art of War*. The subjects were given a series of questions in a Likert Scale format. The quotes from *The Art of War* essentially determine whether police leaders or managers agree with the values of Sun Tzu (see APPENDIX B). The first quote is a factor within the first chapter of *The Art of War* and consists of what Sun Tzu believed made a superior leader. Questions two through five, are composed of planning, organization, management skills, and strategies. Essentially these questions consist of internal factors that police leaders or managers have to control. The sixth and seventh quotes involve Tzu's principle regarding the importance of spies, or within law enforcement, the use of informants. The final statement asks the respondent's point of view regarding whether they believe the statements are applicable to modern day law enforcement leadership and management.

The third measurement instrument is comprised of six demographic questions. The questions ask the surveyee's their: 1) gender; 2) age; 3) highest education degree; 4) their racial and ethnic background; 5) their occupational position; and 6) the population size of the city in which their department resides in (see APPENDIX C) The demographical information is used to determine the attributes law enforcement executives exhibit.

The instrument was mailed to eighty-five police departments within the North Texas metropolitan area. The list of departments and police chiefs was provided by the University of Texas at Arlington's (UTA) Criminology and Criminal Justice Department. The surveys were sent to potential respondents with a cover letter identifying the purpose of the research study (see APPENDIX D). Participation in this study took approximately 5-8 minutes, with no perceived risks or discomforts for participating in the research study. When completed, the surveys were placed in a pre-paid envelope and mailed to the UTA Criminology and Criminal Justice Department. The advantages of cost, convenience, and the lack of bias opinion due to an anonymous response was the purpose of this methodology.

3.3 Data Collection Method

There are three forms of information and data gathering utilized in this study. The first consisted of research articles illustrating *The Art of War's* principles. The scope of this information included, military, business, leadership and management, criminal justice, and other fields of study. The second form included information gleaned from the "Character Assessment Rating Scale." The third form included data analysis derived from the rating scale based on the principles of Sun Tzu. Lastly, the fourth form consisted of six demographic questions (see APPENDIX C).

3.4 Analysis

The independent variables were defined as: 1=Chief; 2=Deputy/Assistant Chief; 3=Captain; 4=lieutenant. These variables are identified as nominal. There were a total of 136 subjects, however, 123 subjects identified their position, 25= Chiefs, 27=

Deputies, 28=Captain, and 43= Lieutenants. The dependant variables included the twelve characteristics, eight quotes from *The Art of War*, and six demographic questions. The survey instrument contained two scales and six demographic questions, the first scale (see APPENDIX A) measured the use of Tzu's leadership characteristics. The second scale (see APPENDIX B) used eight illustrated quotes from *The Art of War*. The respondent was asked, "As a leader in law enforcement, I agree and implement the following statements." The third and final section of the survey consisted of demographic information regarding the respondent's gender, age, education, race and ethnic background, occupational position, and the population size of the city in which their department resides (see APPENDIX C).

Five types of tests were conducted with the use of the Statistical Package for the Social Sciences (SPSS). The first analysis consisted of a frequency test, the second was a cross-tabulation. The objectives of conducting this assessment is to discover: 1) whether police leaders and managers within North Texas implement the characteristics provided in the "Character Assessment Rating Scale" (see APPENDIX A); 2) whether police leaders and managers agree with the statements derived from *The Art of War* (see APPENDIX B); 3) whether police leaders who implement the characteristics from the "Character Assessment Rating Scale" agree and identify that the statements from *The Art of War* are applicable to modern day law enforcement leadership and management; 4) what type of demographical attributes current police leaders and managers possess; and 5) whether there is a correlation between the population size of the city in which the respondent's department resides, and the statement "fighting with a large number is like fighting with a few. It is a question of configuration and designation" derived from *The Art of War*. (see APPENDIX B).

The frequencies test explains the frequency and percentage of responses chosen for the questions that were asked in the "Character Assessment Rating Scale," the statements from *The Art of War*, and the demographic attributes. The test answers the first, second, and fourth

objectives of the examination. The second test a cross-tabulation between the survey takers occupational position (Chief, Deputy/Assistant Chief, Captain, and Lieutenant) and the questions from the “Character Assessment Rating Scale” and the statements from *The Art of War*. As well as, a cross-tabulation between population size and occupational position (Chief, Deputy/Assistant Chief, Captain, and Lieutenant). This test will answer objectives number three and five.

CHAPTER 4

FINDINGS

The frequency test results from objective one, the “Character Assessment Rating Scale” (see APPENDIX A) illustrated that the majority of law enforcement leaders and managers implement the twelve characteristics “All of the Time” or “Most of the Time.” This instantiates the utilization of the twelve characteristics that Hendrix (2003) and Sun Tzu state make a superior leader. The data from the frequency test based on the statements from *The Art of War* (objective two) had similar findings. The majority of the survey population agreed with the seven quotes derived from *The Art of War*. However, on question four, “One who excels at warfare seeks [victory] through the strategic configuration of power, not from reliance of men,” only 36% agreed with the statement, whereas 26.5% disagreed. Nevertheless, the most vital question to the study, “In your opinion, do you believe that Sun Tzu’s statements above are applicable to modern day law enforcement leadership and management?” 56.6% of the respondents either “Agreed” or “Strongly Agreed” with the adaptability of Sun Tzu’s principles to law enforcement (Table five).

Table 5: Results from Frequencies test “In your opinion, do you believe that Sun Tzu’s statements above are applicable to modern day law enforcement leadership and management?”

“In your opinion, do you believe that Sun Tzu’s statements above are applicable to modern day law enforcement leadership and management?”

		Frequency	Percent	Valid Percent	Cumulative Percent
Valid	Strongly Agree	18	13.2	13.6	13.6
	Agree	59	43.4	44.7	58.3
	Neutral	38	27.9	28.8	87.1
	Disagree	15	11.0	11.4	98.5
	Disagree Strongly	2	1.5	1.5	100.0
	Total	132	97.1	100.0	
Missing	-1	4	2.9		
Total		136	100.0		

Results from the frequency test that examined demographic attributes identified 122 male and 12 female respondents. The age of the subjects ranged from: 1) 1945-1960 = 44 subjects; 2) 1965-1975 = 88 subjects; and 3) 1981 = 1 subject. The level of education of the subjects consisted of 26 with a high school diploma, 14 with an Associate’s degree, 64 with a Bachelor’s Degree, and 29 with a Masters Degree. The data from the respondents regarding race and ethnicity, illustrate that four subjects were black, 123 were white, five Hispanic, one was Asian/Pacific Islander, and one was American Indian. Essentially, the quintessential law enforcement executive in North Texas is a white male between the ages of 36-46 years, with a Bachelor’s Degree.

The next test consisted of a cross-tabulation conducted between position (chief, deputy/assistant chief, captain, and lieutenant) and the questions from the two measurement instruments, “Character Assessment Rating Scale,” and the statements derived from *The Art of War* (see APPENDIX A & B). The majority of the respondents agreed that they implemented and identified with characteristics from the “Character Assessment Rating Scale,” “All of the Time.” Similarly, the majority of the data gathered from the cross-tabulation between position

and the statements from *The Art of War*, agreed with the statements. However, on question four, “One who excels at warfare seeks [victory] through the strategic configuration of power, not from reliance of men,” the majority of the chiefs disagreed with the statement, whereas the deputy/assistant chiefs, captains, and lieutenants all agreed with the statement (Table six). However, when asked whether Tzu’s statements were applicable, in law enforcement leadership and management, the majority of the population agreed with the statement (see Table six).

Table 6: Cross-Tabulation Results for the question “One who excels at warfare seeks [victory] through the strategic configuration of power, not from reliance of men.” and “Identify your position.”

“One who excels at warfare seeks [victory] through the strategic configuration of power, not from reliance of men.” * Identify your position: Crosstabulation

Count		Identify your position:				Total
		Chief	Deputy/Assistant Chief	Captain	Lieutenant	
"One who excels at warfare seeks [victory] through the strategic configuration of power, not from reliance of men."	Strongly Agree	2	2	5	5	14
	Agree	7	14	12	14	47
	Neutral	4	6	5	11	26
	Disagree	10	5	6	12	33
	Disagree Strongly	2	0	0	1	3
Total		25	27	28	43	123

The last test conducted consisted of a cross-tabulation test to determine whether the population size of the city of the respondent’s department correlated with the quote derived from *The Art of War* scale, “fighting with a large number is like fighting with a few. It is a question of configuration and designation” (Table seven). The results found that regardless of the size of the city, the majority of the subjects agreed with Sun Tzu’s statement, “fighting with a large number is like fighting with a few. It is a question of configuration and designation.”

Table 7: Cross-Tabulation Results for the question "What is the population size of the city in which your department resides in?" and "Fighting with a large number is like fighting with a few. It is a question of configuration and designation"

What is the population size of the city in which your department resides in? * "Fighting with a large number is like fighting with a few. It is a question of configuration and designation." Crosstabulation

Count

		"Fighting with a large number is like fighting with a few. It is a question of configuration and designation."				Total
		Strongly Agree	Agree	Neutral	Neutral	
What is the population size of the city in which your department resides in?	less than 1000	1	0	0	0	1
	1,000-8,00	2	11	3	0	16
	8,001-35,000	10	13	3	2	28
	35,001-65,000	7	22	12	2	43
	65,001-	14	19	7	2	42
Total		34	65	25	6	130

There is one distinct methodological limitation. It consists in the number of respondents and geographic area represented and the one geographic area studied. The number of subjects that participated in the study is insufficient to deduce that the findings are representative of all law enforcement. Future studies are needed to determine if the finding are truly representative.

CHAPTER 5

CONCLUSION

The pertinence of *The Art of War* and law enforcement leadership and management is to address the potential benefits from Sun Tzu's philosophy. Sun Tzu claimed that "the general is the supporting pillar of state. If his talents are all-encompassing, the state will invariably be strong. If the supporting pillar is marked by fissures, the state will invariably grow weak" (Sawyer, 1994, p. 178). Above all, the leader greatly influences the stability, as well as, the unity within the army or organization and most importantly, the result of the battle. If the leader is unable to handle the challenges that arise from battle, Tzu states that the army's chances of being victorious will consequently be minute. The role of the warrior leader is analogous to leaders and managers in the law enforcement community. Change and success require well advised leadership. The connection between Tzu's principles and contemporary law enforcement leadership practices forms the basis of the study. Sun Tzu's work both informs and contributes to the development of today's leaders and managers.

The data collected and analyzed in this study predominantly revealed that the majority of respondents recognized their use of the principles from *The Art of War*. Results from the first section of the survey, "Character Assessment Rating Scale," illustrates that the subjects utilize the traits, "Most of the Time or All of the Time". Therefore, the respondents utilize the characteristics Sun Tzu defined for a "victorious leader." Another significant finding was that the majority of the respondents "Agreed" with the statements from *The Art of War* and believe that they are applicable to contemporary law enforcement leadership and management. This examination also illustrates the demographical attributes a law enforcement executive possesses. The findings reveal that a white middle-aged male with a Bachelor's Degree is the typical police leader or manager in North Texas.

An unexpected element from the data was the spirit or imprint of Sun Tzu within law enforcement leadership and management. Although the principles of *The Art of War* were not professed or claimed by law enforcement executives, Sun Tzu's doctrine is ever present. Several principles in *The Art of War* are identifiable through the characteristics and statements from the measurement instrument used for this examination. As the data identified, the majority of the population "Agreed" with the statements derived from *The Art of War* and the implementation of the provided characteristics from the "Characteristic Assessment Rating Scale." This illustrates that various principles from *The Art of War* are used by law enforcement leaders and managers even without their acknowledgement. This illustrates the plausible implementation of Sun Tzu's principles. It may also explain a far greater acceptance and use of Tzu's principles in leadership education and practice than anticipated.

The question arises, if *The Art of War* principles are implemented by law enforcement leaders and managers, what will determine its success? In general, the purpose of leaders and managers is to attain the goals of the entire organization. Success from the implementation of Sun Tzu's principles in essence will be an organization that is more effective, productive, and efficient, unified, and most importantly, ready to meet unanticipated challenge.

Future researchers who would like to further investigate Sun Tzu's applicability to law enforcement leadership and management, will need to address several questions including, can research identify the unexpected presence of sun Tzu's spirit or imprint on decisions made by law enforcement leaders and managers. The question is raised, how did the respondents discover Sun Tzu's principles? Another question that needs to be addressed is whether *The Art of War's* principles are currently incorporated indirectly or directly in law enforcement educational curriculum. Perhaps further investigation can be made to determine if Tzu's principles can historically be linked with Sir Robert Peel and other early leaders and influential scholars in the law enforcement and criminal justice communities.

This study is limited in that it is not built on a substantial amount of pre-existing research regarding law enforcement leadership and management. Another limitation is the credibility of *The Art of War* due to its age. In regards to the limitations within the methodology and the research, one may ask, "So what?" Despite the lack of sufficient data to prove *The Art of War's* applicability to all police leaders and managers, it provides a foundation that may lead to further investigation. The benefits from acknowledging Sun Tzu's principles could influence leadership, management, program implementation, and perhaps help create an influential tool to aid law enforcement agencies in combating criminal behavior.

The uses of Sun Tzu's principles reveal a universal range of knowledge, interests, and activities. Whether through personal achievement, or through a group or organization's battle for victory, Sun Tzu's principles have proven advantageous throughout history. As this examination has illustrated, the military, business and marketing, law enforcement and other fields have identified the importance and the relevance of *The Art of War*. The 2,500 year old book within itself has the potential of being an innovative model for law enforcement leadership. Sun Tzu's principles and philosophy could be easily incorporated into criminal justice and leadership curriculum to enlighten future executives.

Theoretically, the principles of Tzu should enable success; however, additional information regarding whether Sun Tzu's principles are relevant and beneficial to law enforcement needs further investigation. The need for an innovative way to help police executives develop new strategic methods, organize their departments, plan and contemplate their decisions is a constant. The advantages from the various fields identified throughout the literature review illustrate the universal aspect of Sun Tzu's principles. As Sun Tzu stated, "*If a general follows my methods for estimation and you employ him, he will certainly be victorious...if a general does not follow my methods...he will certainly be defeated*" (Sawyer, 1994, p. 168).

APPENDIX A

CHARACTER ASSESSMENT RATING SCALE

Character Assessment Rating Scale	Rarely	Some Times	Neutral	Most of the Time	All of the Time
Instructions: Below are twelve (12) dimensions of the concept of character. As a leader, please rate how frequently you implement each of the following characteristics.					
1. Integrity. Consistently adhering to a moral or ethical code or standard. A person who consistently chooses to do the “right thing” when faced with alternate choices.					
2. Honesty. Consistently being truthful with others.					
3. Loyalty. Being devoted and committed to one’s organization, supervisors, coworkers, and subordinates.					
4. Selflessness. Genuinely concerned about the welfare of others and willing to sacrifice one’s personal interest for others and their organization.					
5. Compassion. Concern for the suffering or welfare of others and provides aid or shows mercy for others.					
6. Competency. Capable of performing tasks assigned in a superior fashion and excels in all task assignments. Is effective and efficient.					
7. Respectfulness. Shows esteem for, and consideration and appreciation of other people.					
8. Fairness. Treats people in an equitable, impartial, and just manner.					
9. Responsibility and Self- Discipline. Can Be depended upon to make rational and logical decisions and to do tasks assigned. Can perform tasks assigned without supervision.					
10. Decisiveness. Capable of making logical and effective decisions in a timely manner. Does not “Shoot From the Hip,” but does promptly make a good decision after considering data appropriate to the decision.					
11. Spiritual Appreciation. Values the spiritual diversity among individuals with different backgrounds and cultures and respects all individuals’ rights to differ from others in their beliefs.					
12. Cooperativeness. Willingness to work or act together with others in accomplishing a task or some common end or purpose.					

APPENDIX B

STATEMENTS FROM *THE ART OF WAR* RATING SCALE

Instructions: Adhere to the following statements with the range of “Strongly Agree to Disagree Strongly.”

Statement: As a leader in Law Enforcement I agree and implement the following statement:	Strongly Agree	Agree	Neutral	Disagree	Disagree Strongly
1. “A leader encompasses wisdom, credibility, benevolence, courage, and strictness.”					
2. “Attaining one hundred victories in one hundred battles is not the pinnacle of excellence. Subjugating the enemy’s army without fighting is the true pinnacle of excellence.”					
3. “Fighting with a large number is like fighting with a few. It is a question of configuration and designation.”					
4. “One who excels at warfare seeks [victory] through the strategic configuration of power, not from reliance of men.”					
5. “It is sufficient for you to muster your own strength, analyze the enemy, and take them. Only someone who lacks strategic planning and slights an enemy will inevitably be captured by others.”					
6. “Double agents can be obtained and employed. Through knowledge gained from them, you can recruit both local and internal spies.”					
7. “Enlightened rulers and sagacious generals who are able to get intelligent spies will invariably attain great achievements.”					
8. In your opinion, do you believe that Sun Tzu’s statements above are applicable to modern day law enforcement leadership and management?					

APPENDIX C

DEMOGRAPHIC QUESTIONS

Instructions: Please complete the following questions.

Demographic Questions:

1. What is your gender?
 - a. Male
 - b. Female

2. In what year were you born?
 - a. 1945-1960
 - b. 1961-1975
 - c. 1976-1980
 - d. 1981-

3. What is the highest education degree or level you have completed?
 - a. High School graduate- high school diploma or the equivalent (for example GED)
 - b. Associate degree
 - c. Bachelor's degree
 - d. Master's degree
 - e. Doctorate degree

4. What is your racial or ethnic background?
 - a. Black
 - b. White
 - c. Hispanic
 - d. Asian/Pacific Islander
 - e. American Indian
 - f. Other

5. Identify your position:
 - a. Chief
 - b. Deputy/Assistant Chief
 - c. Captain
 - d. Lieutenant

6. What is the population size of the city in which your department resides in?
 - a. less than 1000
 - b. 1,000 - 8,000
 - c. 8,001 – 35,000
 - d. 35,001 – 65,000
 - e. 65,001 -

APPENDIX D

COVER LETTER

Randall Butler, PhD
Director, Center for Criminal Justice Research and Training
Department of Criminology and Criminal Justice
UTA

Dear Chief,

I am writing on behalf of Melissa Peña, a Criminology and Criminal Justice graduate student at The University of Texas at Arlington. She is currently working on her thesis and would appreciate you and your command staff completing a survey. The purpose of her study is to identify principles and characteristics advocated by military leader Sun Tzu in his seminal work, *The Art of War*, that are applicable to modern law enforcement leadership and management. The 2,500-year old text has been studied and adapted through the centuries by not only military leaders, but by other professionals as well. Most recently, Tzu's principles have been identified in the corporate/business, political, and competitive sports communities. His principles are intended to provide tactical preparation for a triumphant victory.

Essentially, Ms. Peña wants to learn from the collected data whether today's administrative leaders in law enforcement are using principles from *The Art of War*, perhaps without their knowing it. And determine whether their leadership skills and characteristics match those that Sun Tzu described as illustrative of a "victorious" leader. She would like to have individuals who are heads of divisions or departments/sections, such as lieutenants, captains, deputy chiefs, in addition to the chief, complete the survey. I have enclosed a dozen copies of the survey questionnaire, please feel free to make additional copies as needed. Please return the completed surveys in the enclosed pre-paid and address manila envelope by October 20, 2011.

Thank you in advance for your participation and helping Ms. Peña with her research. The analysis will be available upon request by January 15, 2012.

Sincerely,
Randall Butler, PhD
UTA

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BIOGRAPHICAL INFORMATION

Melissa Peña, born in Harlingen Texas and raised in Cleburne Texas, graduated from Joshua High School in 2005. Motivated by her Agriculture teacher, Mr. Key, to attain further education, Melissa entered Hill College in Cleburne Texas in 2005. After graduating with honors and achieving an Associate's degree in Applied Science in Criminal Justice Corrections, she entered Southwestern Adventist University in Keene Texas to attain a Bachelor's Degree in Criminal Justice. With the guidance of her major professor, Dr. Butler, Melissa accomplished what she believed to be unachievable, conduct research and develop a thesis. In December 2011, Melissa will graduate from The University of Texas at Arlington with a Master's Degree in Liberal Arts Criminology and Criminal Justice.

After Melissa Graduates, she plans on conducting further research from the data gathered from her thesis. She will also dedicate her time in achieving a Ph. D in the field of Criminology and Criminal Justice.