

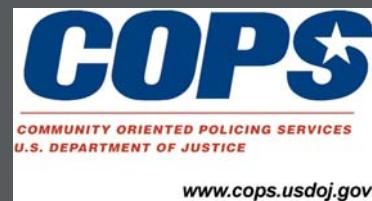


# Tribal Inspired Leadership Training

Participant Guide

*November, 2010*

Western Community Policing Institute  
Western Oregon University  
Community Oriented Policing Services



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## MODULE 1: Introductions



### Background: Course Provider, WCPI

This course is sponsored by U.S. Department of Justice/Community Oriented Policing Services (COPS); and the grant award number is:

2009 HEWXK002

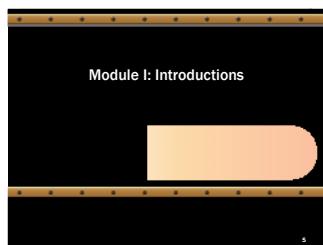
The author of this curriculum is the Western Community Policing Institute (WCPI).



Some background facts about WCPI are as follows:

- Funded by the U.S. Department of Justice, (COPS) and the U.S. Department of Homeland Security (FEMA), Responder Training.gov
- Located at Western Oregon University in Monmouth, Oregon
- Delivering training since 1996





## Participant Introductions

What is important to your employees?

Leadership promotes....

How well do you know your employees...

Leadership is....

- Influencing
- Motivating
- Inspiring
- Being Credible
- Caring
- Compassionate

"Undercover Boss"

Course Overview

Interactive Scenario-based

Training uses historical examples to examine leadership: "Last chapters of their lives have been written. We can look at their actions based on historical events."

Designed for public safety and Tribal leaders

Requires active participation and problem-solving

Introduction

## Course Overview

This course is comprised of five modules. The course is challenge and scenario-based, requiring active participation and problem-solving. Participants will evaluate case studies and shared experiences in the context of an executive's leadership approach in implementing and administering community policing in Indian country. In each module, participants examine and discuss the need for leadership and the importance of community policing. The concluding module provides final summary thoughts regarding identified issues and provides a wrap-up for this course.



## Course Goal, Modules, and Objectives

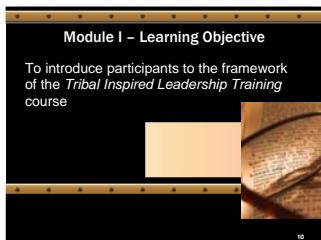
## Course Goal

This course is designed to train and equip executives with the skills necessary to make leadership decisions for the purpose of implementing and administering community policing in their community.

## Course Modules

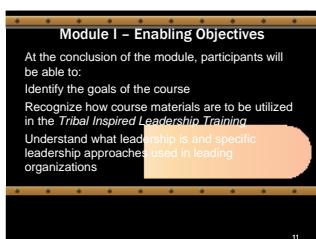
The other modules in this course include:

- Carrying Out Community Policing Principles: Defining and Understanding Leadership and Management Roles.
- Successfully Integrating and Synchronizing Community Policing Principles through Leadership: Situational Leadership.
- Community Policing Executive Leadership Skills: The Primal Leaders and Emotional Quotient (EQ).
- Comprehensive Application of Community Policing Principles: The Transformational Leader.



## Module 1: Learning Objective (LO)

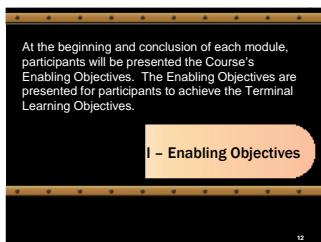
At the conclusion of this module, participants will be provided an overview of the TILT course.



## Module 1: Enabling Objectives (EO's)

At the conclusion of this module, participants will be able to:

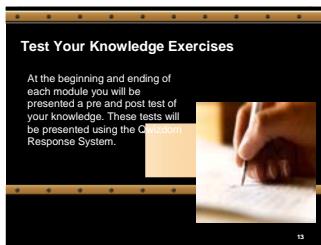
- Identify the goals of the course
- Recognize how course materials are to be utilized in the *Tribal Inspired Leadership Training Course*
- Understand what leadership is and specific leadership approaches used in leading organizations



## Module Enabling and Learning Objectives

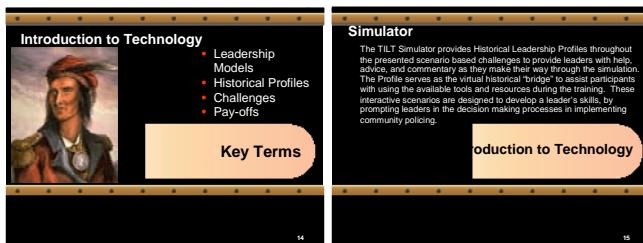
### Enabling Objectives

To assist participants in successfully completing this course, each module identifies enabling objectives that are presented throughout the training. At the beginning of each module the enabling objectives are listed and reviewed. The enabling objectives are mechanisms to assist participants in achieving the learning objective for each module.



### Test Your Knowledge Exercises

At the beginning and ending of each module participants will be presented a pre- and post-test of participant's knowledge. These tests will be presented using the Qwizdom Response System. The Test Your Knowledge Exercises are used to determine participants learning of each module's curriculum.



## Introduction to Technology

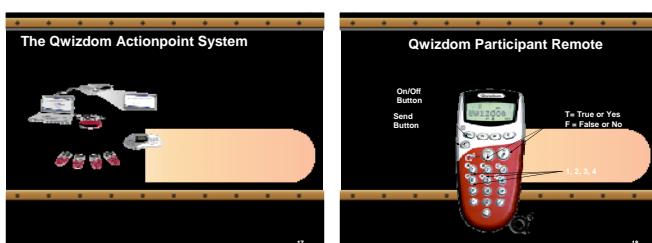
The *TILT* scenarios provide *Historical Leadership Profiles* throughout the course based on specific Tribal leadership challenges. These scenarios are designed to help participants develop leadership knowledge, skills, and abilities as they make their way through the course. The leadership profiles serve as the historical “bridge” to assist participants with using the available tools and resources during the training. Interactive scenarios are designed to develop a leader’s skills, by prompting leaders in decision-making processes before and during the implementation of community policing strategies.



## Introduction to Qwizdom

### The Qwizdom Interact System

Qwizdom brings true interactivity to this training using the latest innovations in wireless technology. The Qwizdom system is integrated into the TILT curriculum and PowerPoint presentation to provide an opportunity for active participation in the training activities.



## System Overview

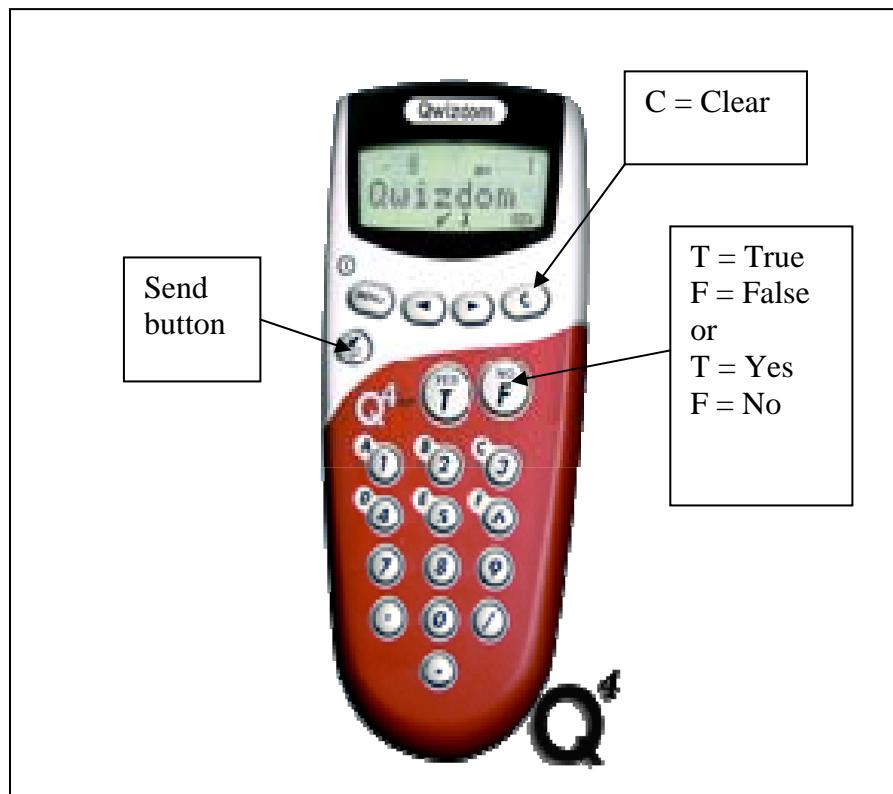
### Qwizdom Components



Qwizdom's **Response System** includes a host, which plugs into the instructor's laptop or desktop USB drive, teacher remote, and student remotes. The host transmits a radio frequency which allows communication with the instructor's computer, the teacher remote, and student remote. This RF IEEE standard system helps insure robust, conflict-free operation and supports up to 1,000 remotes at one time.

The Qwizdom Participant Remote provides instant feedback to participants.

The Qwizdom Instructor Remote allows the instructor to present slides, pause and play media, and pose a new question. Instructors can instantly view a graph on their remote's LCD screen or project the results for the entire classroom.

**Participant Remote:**

Three slides from a presentation titled 'Test Your Knowledge'.

- Slide 19:** Question: Which of the following are typically characterized as elements of management?  
A) Task oriented  
B) Big picture focus  
C) Budget oriented  
D) A & C  
E) All of the above
- Slide 20:** Question: Which of the following are key elements of community policing leadership?  
A) Leading people  
B) Leading change  
C) Building coalitions  
D) A & C  
E) All of the above
- Slide 21:** Question: Which of the following are challenges to community policing?  
a) Recruitment, hiring, and retention  
b) Disengaged communities  
c) Funding shortfalls  
d) Poor collaboration between local government agencies  
e) All of the above

**Test Your Knowledge Exercise**

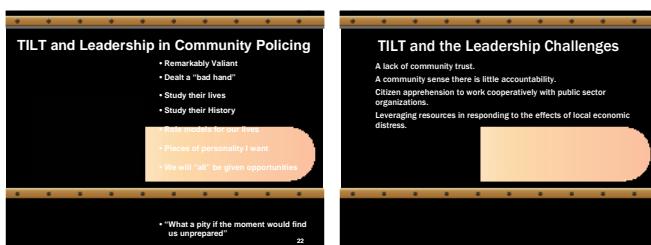
1. Which of the following are typically characterized as elements of management?
  - a) Task oriented
  - b) Big picture focus
  - c) Budget oriented
  - d) A and C
  - e) All of the above

2. Which are key elements of homeland security leadership?

- a) Leading people
- b) Leading change
- c) Building coalitions
- d) A and C
- e) All of the above

3. Which of the following are challenges to community policing?

- a) Recruitment, hiring, and retention
- b) Disengaged communities
- c) Funding shortfalls
- d) Poor collaboration between local government agencies
- e) All of the Above



## TILT and Leadership in Community Policing

Leaders are presented opportunities in their careers to demonstrate their knowledge, skills, and abilities (KSA's) when faced with challenges. These include community specific challenges that can range from a lack of community trust in government; a sense there is little government accountability; citizen apprehension to work cooperatively with public agencies; public safety agency resistance to embrace community policing; to leveraging community agencies in responding to the effects of local economic distress on public governance. For the purposes of this training overcoming these factors comprises of what can be referred to as the **leadership challenge**. In this course you will be introduced to historical leadership figures, the challenges they faced, and the outcome of their actions. They were chosen to demonstrate the leadership knowledge, skills, and abilities they employed when facing particular challenges. These historical figures are studied for a variety of reasons (Westfall interview) because they were:

- “Remarkably valiant”
- “Dealt a bad hand”
- “Study their lives”
- “Study their history”

- “Role models for our lives”
- “Pieces of personality I want”
- “We will “all” be given opportunities”
- “What a pity if the moment would find us unprepared”

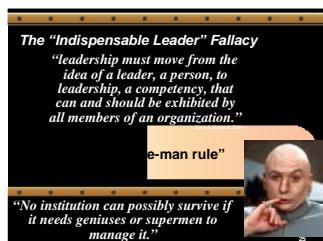
The leadership figures selected for this program will highlight the specific challenges of:

- Knowing people and what their specific needs are – *Situational Leadership*
- Preservation – *Primal Leadership*
- Sharing a vision – *Transformational Leadership*



### Three Leadership Profiles

- Chief Gall
- Tecumseh
- Wilma Mankiller



### The “Indispensable Leader” Fallacy

- **“No institution can possibly survive if it needs geniuses or supermen to manage it.”**
- **“One-man rule”**



- History of the organization
- Tradition
- Responsibility
- Culture
- Respect
- Trust
- Team “You cannot drag people”

**William Fenton Russell – Boston Celtics**

Elected to Naismith Basketball Hall of Fame (1975); NBA champion (1957, '59, '60, '61, '62, '63, '64, '65, '66, '68, '69); NBA MVP (1958, '61, '62, '63, '69); All-NBA First Team (1959, '63, '65); Eight-time All-NBA Second Team; NBA All-Defensive Team (1957-60); 12-time NBA All-Star (1958-60); All-Star MVP (1963); One of the 50 Greatest Players in NBA History (1996); Olympic gold medalist (1956).

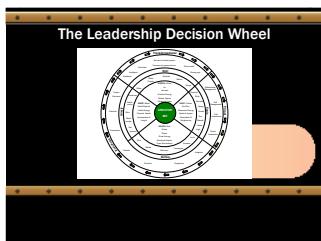
**VIDEO: Bill Russell and Leadership**

**The Invisible Leader - "By design and by talent..."**

wrote basketball player Bill Russell of his team, the Boston Celtics, "(we) were a team of specialists, and like a team of specialists in any field, our performance depended both on individual excellence and on how well we worked together. None of us had to strain to understand that we had to complement each other's specialties; it was simply a fact, and we all tried to figure out ways to make our combination more effective...

## The Invisible Leader

"By design and by talent..." wrote basketball player Bill Russell of his team, the Boston Celtics, "...(we) were a team of specialists, and like a team of specialists in any field, our performance depended both on individual excellence and on how well we worked together. None of us had to strain to understand that we had to complement each other's specialties; it was simply a fact, and we all tried to figure out ways to make our combination more effective...



## **The Leadership Decision Wheel (Leadership Wheel)**

Through out this course, participants will have the opportunity to use the Leadership Wheel as a tool for enhancing their leadership decision making abilities. By

understanding the principles of the Leadership Wheel, Tribal leaders can use the Leadership Wheel as a tool to help them make more effective leadership decisions. The Leadership Wheel consists of four quadrants (see below); three of the quadrants represent different leadership styles that will be presented in class. These three styles are Situational, Primal, and Transformational. The fourth quadrant represents the concepts of leadership and management and can be used by participants to frame the differences between the two.



Leadership Wheel			
Situational Challenges	Primal Challenges	Transformational Challenges	Leadership/Mgt Challenges
<ul style="list-style-type: none"> <li>✓ Rapid Change Unanticipated Circumstances</li> <li>✓ Knowing my peoples needs</li> <li>✓ How do I lead them</li> </ul>	<ul style="list-style-type: none"> <li>✓ Declining cultural values</li> <li>✓ Preserving Tribal cultural values</li> <li>✓ Overcoming limited distractions and obstacles</li> </ul>	<ul style="list-style-type: none"> <li>✓ Inspiring others</li> <li>✓ Organizational paralysis</li> <li>✓ Leadership vs. management</li> <li>✓ Official and unofficial leadership</li> </ul>	<ul style="list-style-type: none"> <li>✓ Leadership vs. management</li> <li>✓ Official and unofficial leadership</li> <li>✓ Formal and informal leadership</li> </ul>

Figure 1.1

<b>Leadership Wheel</b>			
<b>Situational Characteristics</b>	<b>Primal Characteristics</b>	<b>Transformational Characteristics</b>	<b>Leadership/Mgt Characteristics</b>
<ul style="list-style-type: none"> <li>✓ Flexible</li> <li>✓ Adaptable</li> <li>✓ Prescriptive</li> <li>✓ Guidance</li> <li>✓ Practical</li> </ul>	<ul style="list-style-type: none"> <li>✓ Emotional Intelligence</li> <li>✓ Good Communicator</li> <li>✓ Inspirational</li> <li>✓ Resonance</li> </ul>	<ul style="list-style-type: none"> <li>✓ Healthy egos</li> <li>✓ Purpose driven</li> <li>✓ Forward thinking</li> <li>✓ Motivating</li> <li>✓ Inspiring</li> </ul>	<ul style="list-style-type: none"> <li>✓ Honesty</li> <li>✓ Integrity</li> <li>✓ Visionary</li> <li>✓ Problem/Solving</li> <li>✓ Big picture</li> <li>✓ Directing</li> </ul>

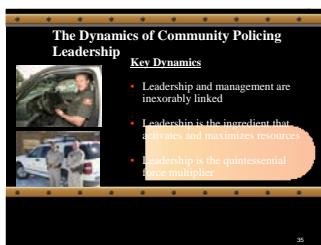
Figure 1.2

<b>Leadership Wheel</b>			
<b>Situational Approach</b>	<b>Primal Approach</b>	<b>Transformational Approach</b>	<b>Leadership Mgt Approach</b>
<ul style="list-style-type: none"> <li>✓ Directive</li> <li>✓ Supportive</li> <li>✓ Autocratic</li> <li>✓ Democratic</li> </ul>	<ul style="list-style-type: none"> <li>✓ Stability</li> <li>✓ Guidance</li> <li>✓ Assuredness</li> </ul>	<ul style="list-style-type: none"> <li>✓ Servant to people</li> <li>✓ Selling a vision</li> <li>✓ Inspiring and motivating to action</li> </ul>	<ul style="list-style-type: none"> <li>✓ Vision</li> <li>✓ Inspiring</li> <li>✓ Collaborating</li> <li>✓ Mentoring</li> <li>✓ Coaching</li> </ul>

Figure 1.3

<b>Leadership Wheel</b>			
<b>Situational Payoff</b>	<b>Primal Payoff</b>	<b>Transformational Payoff</b>	<b>Leadership Mgt Payoff</b>
<ul style="list-style-type: none"> <li>✓ Adaptive</li> <li>✓ Meets Challenge</li> <li>✓ Recognizes needs</li> </ul>	<ul style="list-style-type: none"> <li>✓ Self-management</li> <li>✓ Self-awareness</li> <li>✓ Relationship management</li> <li>✓ Social awareness</li> </ul>	<ul style="list-style-type: none"> <li>✓ Developing the vision</li> <li>✓ Selling the vision</li> <li>✓ Finding the way</li> <li>✓ Leading the charge</li> </ul>	<ul style="list-style-type: none"> <li>✓ Right thing</li> <li>✓ Right time</li> <li>✓ Right way</li> <li>✓ Right reason</li> </ul>

Figure 1.4



## The Dynamics of Community Policing Leadership

**Application to Tribal Inspired Leadership:** Effective leadership is a critical component of community policing at every level of both the public and private sectors. Through effective leadership that incorporates sound management practices, individuals can help create a culture of community policing that is absolutely vital to our community's safety and security.



- **Recognizing the complexity of community policing, what does a leader need in terms of knowledge and proficiencies?**
- **Would you be able to do your job if you were a great leader without any knowledge related to community policing?**

**Application to Tribal Inspired Leadership:** This section identifies specific technical proficiencies and specialized knowledge that are needed for community policing leaders and decision makers.

**Principles of Community Policing: Principles of Community Governance**

- Recruitment, hiring, retention
- Partnerships among Police and Community
- Incentives to stimulate change
- Diversified communities
- Problem-solving
- Politics of public safety
- Prioritization of prevention over punishment
- Government interaction between government agencies
- Policymaking
- Making the case for "Community Policing"

**Community Policing Leadership – The Assurances**

"The large corporation is in no way different from any army: it must have the equipment but also, as in the army, equipment is not the same as the functional organization of human effort. And it's like the army or like sports teams, it's not the players that really count are not the individual members but the *relations of command and responsibility among them*."

**Leadership is “Everyone’s Business”**

"Leadership is not about organizational power or authority. It's not about celebrity or wealth. It's not about the family you are born into. It's not about being a CEO, president, general, or prime minister. And it's definitely not about being a hero. Leadership is about *relationships*, about *credibility*, and about *what you do*."

## Community Policing: Looking to Tomorrow

Challenges: What are the challenges to traditional community policing?

- Recruitment, Hiring, and Retention
- Reinforcing Community Policing
- Inability to Institute Change
- Disengaged Communities
- Funding Shortfalls
- Politics of Public Safety
- Poor Collaboration Between Local Government Agencies
- Policymaking
- Making the Case for “Community Policing”

### ***Advancing Community Policing Through Community Governance: A Framework Document.***

This document defines community governance as “a philosophical approach to local governance in which municipal agencies, city leaders, and the community (e.g., nonprofit and community-based organizations, individuals, and businesses) view themselves as partners and collaborate to address community problems and improve the overall quality of life.” (Diamond and Weiss, p. 3) Diamond and Weiss note, “Community policing is a philosophical approach to policing; it is not a program or set of programs or tactics.” The elements of community governance include:

- Partnerships among municipal agencies
- Partnerships with the community
- Collaborative problem-solving efforts
- Organizational change

**What do you believe it takes to be an effective community policing leader?**

### **Application to Tribal Inspired Leadership:**

This section assists participants in understanding the relationships that exist between effective leadership and effective management. It also helps participants understand the four mission areas of community policing and basic risk management principles as related to prevention.

## Leadership Challenge

- **What are the specific issues that are currently challenging your Tribe or jurisdiction?**
- **Would implementing community policing pose a challenge?**

Consider the following questions listed below, and consider whether your organizations and/or jurisdictions are prepared to answer them.

- **Knowing that this challenge is needed, what can you do to address the challenge?**
- **How do you get stakeholders involved from the beginning? How do you achieve buy-in?**
- **Do you opt for a formal or informal/official or unofficial approach?**
- **What issues will you have to focus on as Tribal leaders?**

**Application to Community Policing Leadership:** The Leadership Challenge video is designed to introduce the class participants to the real issues involved with community public safety including confrontation and violence that are a significant threat to operations.

## TILT in Review

This program will assist Tribal leaders in:

- Improving the capacity of Tribal executive leaders to partner with relevant stakeholders
- Increase the awareness on the importance of culture, trust and accountability, using technology to support community policing efforts through the capture of data
- Increase the capacity to develop and enhance mutual trust
- Increase the capacity to leverage community policing in responding to the effects of local economic distress on public safety
- Increase the capacity to address unique issues in a culturally sensitive and comprehensive community policing approach
- Increase the practice of community policing Nationally

## Test Your Knowledge

The image shows three slide thumbnails from a presentation. Each slide has a dark blue header bar with the title 'Test Your Knowledge' in white. The main content area is white with a yellow-to-orange gradient footer bar.

- Slide 40:** Question: Which of the following are typically characterized as elements of management?  
Options: A. Task oriented, B. Big picture focus, C. Budget oriented, D. A & C, E. All of the above.
- Slide 41:** Question: Which of the following are key elements of community policing leadership?  
Options: A. Leading people, B. Leading change, C. Building coalitions, D. A & C, E. All of the above.
- Slide 42:** Question: Which of the following are challenges to community policing?  
Options: a. Recruitment, hiring, and retention, b. Disengaged communities, c. Funding shortfalls, d. Poor collaboration between local government agencies, e. All of the above.

1. Which of the following are typically characterized as elements of management?
  - a) Task oriented
  - b) Big picture focus
  - c) Budget oriented
  - d) A and C
  - e) All of the above
2. Which are key elements of homeland security leadership?
  - a) Leading people
  - b) Leading change
  - c) Building coalitions
  - d) A and C
  - e) All of the above
3. Which of the following are challenges to community policing?
  - a) Recruitment, hiring, and retention
  - b) Disengaged communities
  - c) Funding shortfalls
  - d) Poor collaboration between local government agencies
  - e) All of the above

The image shows a slide thumbnail for a 'Wrap-Up' section. It has a dark blue header bar with the title 'Wrap-Up' in white. The main content area is white with a yellow-to-orange gradient footer bar.

At the conclusion of this module, participants were able to:

- State the goals of the course and list the Terminal Learning Objectives
- Recognize how course materials are to be utilized in the *Tribal Inspired Leadership Training* course
- Relate the topics covered in this course to participants' roles in the community

## Module 1 Wrap-Up

This module provided an introduction to the course, providers and sponsors, and allowed executives to introduce themselves to the other executives participating. In addition, this module provided an overview of the course, including background information, layout, and key points of interest in the course.

At the conclusion of this module, participants were able to:

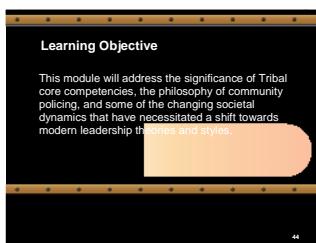
- Identify the goals of the course
- Recognize how course materials are to be utilized in the *Tribal Inspired Leadership Training Course*

## Module 2: Carrying Out Community Policing Principles: Defining and Understanding Leadership and Management Roles

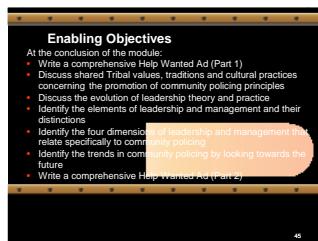


### Overview

Most public safety and community leaders advocating community policing would likely agree that leadership and management are vital for effective community policing. Definitions of key terms such as leadership and management are generally considered subjective and fluid concepts. This module will set the stage for participants to discuss and come to a consensus about community policing leadership and what it constitutes. In order to do this, the module will focus on the importance of Tribal core competencies in operating community policing philosophy and three additional components that are fundamental to the discussion of community policing leadership: the concept of leadership, the practice of management, and the reality of the knowledge worker.



**Learning Objective:** This module will address the significance of Tribal core competencies, the philosophy of community policing, and some of the changing societal dynamics that have necessitated a shift towards modern leadership theories and styles. Leaders will discuss and use leadership skills in developing effective networks among other stakeholders and officials.



**Enabling Objectives:** At the conclusion of this module, participants will be able to:

- Write a comprehensive Help Wanted Ad (Part 1)
- Discuss leadership and core cultural competencies
- Discuss the evolution of leadership and the knowledge worker
- Identify the elements of leadership and management and their distinctions
- Identify the four dimensions of leadership and management that relate specifically to community policing
- Identify the trends in community policing by looking towards the future
- Write a comprehensive Help Wanted Ad (Part 2)

Three screenshots of a "Test Your Knowledge" section from a presentation. Each screenshot shows a question, a list of options, and a large orange button for interaction.

- Screenshot 47: Question: "What are the key elements of community policing?" Options: A. Problem solving, B. Team building, C. Partnerships, D. Organizational change, E. A & C, F. All of the above.
- Screenshot 48: Question: "What are key elements of community policing leadership?" Options: A. Leading organizational change, B. Promoting effective problem-solving strategies, C. Building coalitions, D. Building partnerships, E. A & C, F. All of the above.
- Screenshot 49: Question: "Effective leadership is characterized by focusing on doing the right thing instead of doing things right?" Options: A. True, B. False.

## Test Your Knowledge

1. What are the key elements of community policing?
  - a) Problem solving
  - b) Team building
  - c) Partnerships
  - d) Organizational change
  - e) A & C
  - f) All of the above

2. What are key elements of community policing leadership?
  - a) Leading organizational change
  - b) Promoting effective problem-solving strategies
  - c) Building coalitions
  - d) Building partnerships
  - e) A & C
  - f) All of the above
3. Effective leadership is characterized by focusing on doing the right thing instead of doing things right?
  - a) True
  - b) False

**2.1 Help Wanted Exercise: Part 1**

Some Simple Questions:

- What is your job title?
- What do you do for a living?
- Can you describe your job in a single sentence?
- Can you write a help wanted advertisement?

**Help Wanted Exercise: Part 1**

- The ad should be brief and designed to fit into a comprehensive newspaper ad (MAX 200 words).
- The ad should summarize the homeland security responsibilities and tasks associated with your particular position (*What it actually is – not perceived to be or otherwise inferred*).
- The ad should specify the most important skills, knowledge, abilities and proficiencies that your replacement must have in order to succeed.

### Help Wanted Ad Exercise Part 1

Let's start this module with a couple of simple questions that we should all be able to answer:

- **What is your job title?**
- **Does your title truly capture what you do for a living?**
- **Can you describe what you do in a single sentence?**
- **If asked to, would you be able to write a Help Wanted Ad to find your own replacement?**
- **What would you put in it?**

The intent of this exercise is to allow you as a participant an opportunity to evaluate your own knowledge, skills, and abilities (KSA's) as these KSA's relate to your individual roles when advocating a community policing philosophy. The process involves creating a "help wanted advertisement" to replace you in the unfortunate circumstance that you vacate your position during your career. The basis for the help wanted ad is your position description and a listing of your current job duties. This exercise also prompts you to consider your own assessment of the KSA's needed to replace you. The help

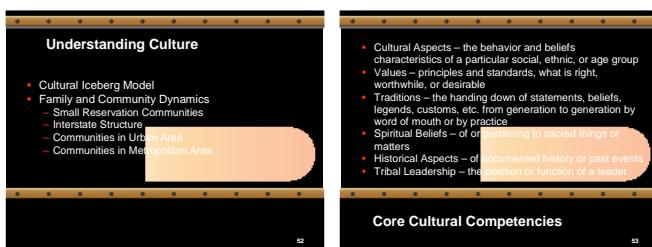
wanted ad is intended to be a vehicle for you to consider your current KSA's, add KSA's needed to fulfill the duties of the position, and additional KSA's that are identified through the presentations contained in this module.

At this point, draft a Help Wanted Ad using to the following instructions:

- The ad should be brief and designed to fit into a comprehensive newspaper ad (MAX 200 words).
- The ad should summarize the community policing responsibilities and tasks associated with their particular position (what it actually is – not what it is perceived to be or otherwise described).
- The ad should specify the most important KSA's that your replacements must have in order to succeed.

#### Discussion Questions:

- **Was it difficult to capture what you do to lead your Tribal community policing efforts?**
- **How diverse are your responsibilities?**
- **Were you at all surprised by what you wrote?**
- **How much of their Help Wanted Ad draft was comprised of leadership tasks skills and responsibilities, and how much were management related?**
- **Does it matter?**
- **What is the difference between leadership and management?**
- **How would your job have been different 10, 20,100 years ago?**



#### Leadership and Core Cultural Competencies

#### Understanding Culture

**Historical Events**

- Pre-constitutional Policy (1532-1789)
- The Indian Removal Act (1789-1871)
- The Era of Allotment and Assimilation (1871-1928)
- Indian Reorganization Act (1934-1940)
- Termination Era (1950s-1980s)
- The "Self-Determination" era

**Family and Community Dynamics**

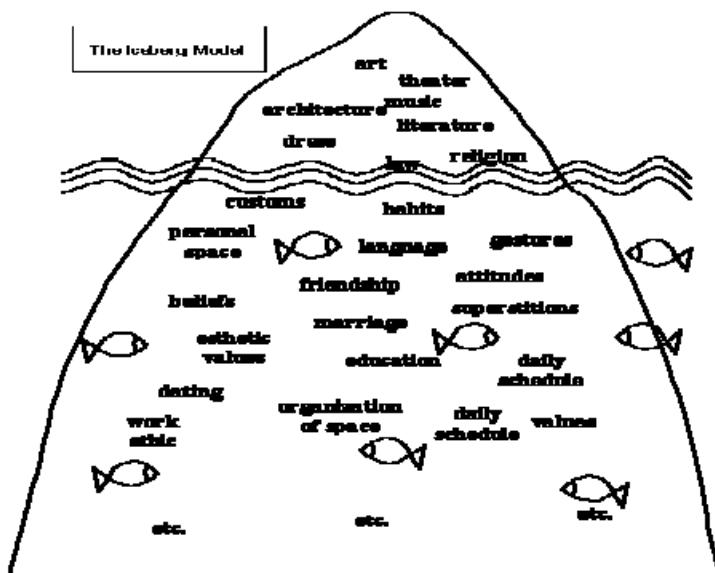
Family and community dynamics are an important element of Tribal culture. These elements have influenced Tribal culture and yet the culture influences how families and communities are organized, developed, and interact.

**Government/Leadership**

- Tribal council which runs all government programs
- Tribal council and a separate tribal administration
- Some tribal leaders that serve as volunteers, others may have full-time paid positions
- Larger tribes may have local governments which represent individual communities, districts, or areas. In addition, some reservations have more than one resident tribe.
- In Alaska the Native Claims Settlement Act has established regional and territorial governments which represent groups of tribes that live in that state may be provided with additional tribal corporations, separate tribal governments, independent of the tribal government with the federal government to operate on their lands and administer programs on their reservations under the Alaska Native Claims Settlement Act (P.L. 93-626, as amended).

When we think of culture we normally think of the material or visual difference found within a group. In a very general sense culture provides you with ways to make meaning.

The iceberg is a simplistic model used to demonstrate aspects of culture. The majority of an iceberg is not seen from the surface. Only a small portion of the iceberg can be seen above water. Culture can be understood the same way. Most cultural aspects cannot be detected at a first glance or even through a single interaction. Culture has many underlying aspects.



## Historical Events

"One faces the future with one's past" (Pearl S. Buck) applies to this training, in that; historical events shape core competencies and the future. To understand the aspects of culture it is important to understand the history. By understanding Tribal history an individual can gain insight into Tribal culture, values, beliefs and norms.

Here is a comprehensive Timeline. Each Tribe has specific events that are important to acknowledge. These events influence Tribal Culture.

<http://www.animatedatlas.com/timeline.html>

### Family and Community Dynamics

Family and community dynamics are an important element of Tribal culture. These elements have influenced Tribal culture and yet the culture influences how families and communities are organized, developed, and interact.

### Governments/Leadership

Tribal government is an important component of tribal core competencies. The role of tribal government is evaluated as they work within realm of core competencies.

Fundamental Powers of Indian Tribes:

- Power to Establish a Form of Government
- Power to Determine Membership
- Police Power
- Power to Administer Justice
- Power to Exclude Persons from the Reservation
- Power to Charter Business Organizations
- Sovereign Immunity



### Spiritual Beliefs

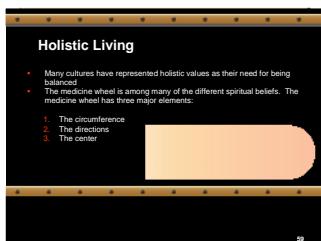
Spiritual beliefs are very individualistic and relationship based. Spiritual beliefs include tribal values and beliefs, the role of the “Creator”, the Grandfathers, and the spirits of

nature, relative to tribal communities' interaction within their communities, one on one, and with their environment.



## Traditions

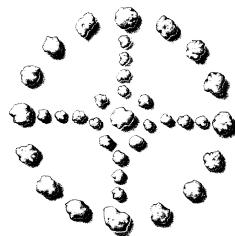
Native American traditions include the role of matriarchal societies, the role of chiefs and council, elders, children, and the importance of tribal ceremonies. The teachings of survival and the way of living was not left up to chance in American Indian communities. Through well defined customs, values, and practices, which were delivered from generation to generation, parents and elders guided, nurtured, and protected children. They taught them to have self control and how to get along with others. Each tribe had their own way of accomplishing this goal but they all understood its importance.



## Balance/Holistic Way of Living

Symbolism is an important aspect in most Native American cultures. Symbols create relationships, identity, and meaning. The medicine wheel is a symbol used by many tribes to help us remember and understand these concepts. Each tribe, and individuals within the tribe, may understand and use the medicine wheel differently depending on their own cultural experiences. Our American Indian forefathers saw things in fours, for example, the four directions: east, south, west and north. There were and are four seasons: spring, summer, fall and winter. There are four stages in life: infancy, youth, adult, and elder (Howard Raineer). The medicine wheel is a symbol used to explain, and solidify these teachings.

As a symbolic pattern most American Indians recognize the medicine wheel as a symbol of guidance through this life. It is a symbol of rebirth and origin. The medicine wheel is never beginning and never ending and all things flow from it. The medicine wheel has three major elements: 1) the circumference 2) the directions and 3) the center (Jones 1995).



The circumference is the sacred hoop, which reminds us of life's journey; it gives us the separation needed to understand life cycles. We experience life cycles from the day we are born. Life is circular. We live in circles: There are circles below us there are circles above us. The earth, moon, sun, who gives us our life and substance and watch over us, are also circular. The sacred hoop is a "Parental Guardian for all of us" (Jones, 1995 pg72).

"The four directions represent the balance we need in order to live fully" (Jones 1995, pg 80). To understand ourselves, we must understand the direction given to us by the east, south, west, and north. If we follow the guidance given to us through the directions we will better understand the purposes of life and have balance or harmony (Jones 1995). The four directions help us understand cycles. They keep us organized and renewed. The four directions bring predictability and order. They also remind us to look for different ideas or glance in different directions to understand a concern or question (Jones 1995). The four directions also help us understand that in the cycles of life change and growth occur. This is a natural element of life. Through the four directions, the medicine wheel teaches us the four symbolic races are all part of the same human family. This means we are all brothers and sisters living and experiencing on the same mother earth (Bopp 1984).

**Physical.** We start in the East because this is where each day begins as the sun rises. Symbolically, the East represents everything that is physical. This is where we begin life as an infant in a physical body. As an infant we learn to trust, hope and the uncritical acceptance of others (Jones 1995; Bopp 1984). As the sun rises in the East, it gives us guidance to see obstacles. Thus, symbolically it also represents guidance and leadership (Bopp 1984).

**Emotional.** The South represents the summer and adolescence. The self expands at this stage; hormones are exploding; experimentation, and invigorating growth spurts are also occurring. We begin to grow outward as peer conformity begins to replace parental dominance within the social process. This is a time to test our physical bodies and learn the lessons of self-control (Bopp 1984). Many people behave as if their bodies control them. Just as the body can be trained and developed, we can train and exercise our self-control and discipline our emotions. One must learn to distinguish what their body wants from what is good and true. This is the time to collect one's identity (Jones 1995). Values and beliefs begin to develop during this stage. The south represents the summer in the earthly cycle. The summer is a time to prepare for hard times ahead. The most valuable gift to be sought in the South of the medicine wheel is the capacity to express feelings openly and freely (Bopp 1984). The value of this gift is the ability to set aside feelings of anger, hurt, or grief in order to seek counsel or methods to assist people. The establishment of this gift will allow us to think clearly without allowing our feelings to interfere (Bopp 1984).

**Mental.** The sun leaves in the West and subjects us to darkness. This is the autumn of our life, the adult years. This is the time to gain knowledge and sense of what we have learned from our experiences this far (Jones 1995). The West represents learning and the desire to gain understanding through many means such as meditation, prayer, dreams, personal power, fasting, reflection, and perseverance (Bopp 1984). As we are in the east we gain a clear self-knowledge. At this stage we act on our values, beliefs and attitudes.

**Spiritual.** This is the winter of life. It is the time of enlightenment, a time to become purified and refined into great wisdom. The gift of understanding and calculation is found in the North (Jones 1995). Organizing, categorizing and problem solving help with understanding who we are and how we fit into the circle. This understanding leads to a spiritual feeling of connectedness (Bopp 1984)

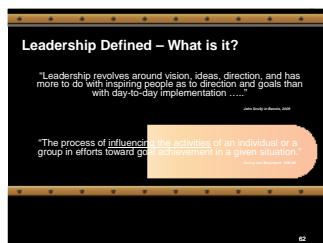
The journey around the medicine wheel can become long and awkward. As we come to more of an understanding of the journey and the cycle and progress with the gifts of the medicine wheel, we are becoming more balanced or harmonious. The closer we find us centered in the medicine wheel the shorter and less awkward is the journey. The goal is to find yourself at the center where you can have all four elements continuously and simultaneously. When we extend ourselves from the center, "We become vulnerable like brother Snake" (Jones 1995).

The medicine wheel and its teachings has traditionally helped many Native American communities to understand that everything is related and connected. For the purpose of this training we will use the Medicine Wheel concept and present a "Leadership

Decision Wheel" (Leadership Wheel) that will be a take home decision tool for future use.



## The Evolution of Leadership Theory and Practice



## Leadership Defined

- “Leadership revolves around vision, ideas, direction, and has more to do with inspiring people as to direction and goals than with day-to-day implementation .....

*John Scully in Bennis, 2009*

- “The process of influencing the activities of an individual or a group in efforts toward goal achievement in a given situation.”

*Hershey and Blanchard, 1988*

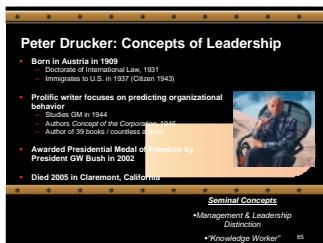




## Management Defined

“The performance of four functions or processes - planning, including charting a direction, determining strategies to succeed, and making policy decisions; organizing, including aligning structure, people, and resources to achieve goals; directing, including supervising, facilitating, coaching, and developing people; and controlling, including tracking progress against plans and making corrections; an endeavor requiring technical, relational, and conceptual skills.”

(Manning and Curtis, 2009)



## Peter Drucker: Concepts of Leadership

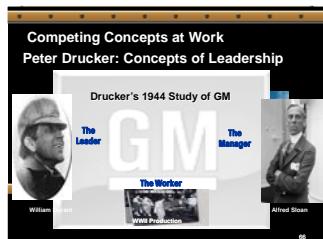
- Peter Drucker has often been described as “one of the most influential minds”, if not the “most influential” mind on the “art” of leadership over the past half century. He was well known for his ability to look at complex organizations, regardless of their mission, and evaluate their functionality and provide insights for their future prospects.
- Drucker, an Austrian, migrated to the United States in 1937. Given his deep roots in Austria, the move to the United States would have been a very difficult decision. What is remarkable is that by 1944, he had become so well known for his insights into organizations, that he was invited by General Motors to do a study of the company. General Motors was probably the most respected and revered corporation of its time, led by Alfred P. Sloan who was seen by many as the prototype CEO.

- Some highlights of Drucker's life:
  - Born in Austria in 1909
    - Doctorate of International Law, 1931
    - Immigrates to U.S. in 1937 (Citizen 1943)
  - Prolific writer focuses on predicting organizational behavior
    - Studies G.M. in 1944
    - Author, *Concept of the Corporation*, 1946
    - Author of 39 books/numerous articles
  - Awarded Presidential Medal of Freedom by President G.W. Bush in 2002
  - Died 2005 in Claremont, California

### Drucker's two seminal concepts:

- Drucker's distinction between leadership and management that he cultivated throughout his career
- Drucker's concept of the "Knowledge Worker" in 1959

Because Drucker's concepts are based on an entire body of work, it is important to properly frame Drucker's ideas and retrace some of the most important milestones of his research. One of these milestones is most certainly his research at General Motors (G.M.) covered in the next section.



### Competing Concepts at Work

By the 1940's Peter Drucker had earned a reputation for his work studying and writing about large organizations. In 1944 Drucker was invited by G.M. to study its internal workings in hopes of capturing and detailing the essence that had made G.M. one of the most successful corporations on earth. While conducting his study, Drucker was given unfettered access to G.M. and its data. Drucker's extensive research and analysis of

G.M. would culminate in 1946 with the publication of one of Drucker's most influential works, *Concept of the Corporation*.

It is interesting to note that during his study, Drucker reviewed the production data of one particular G.M. factory. That factory during World War II produced jeeps for military use and then post-war went back to making cars. In reviewing this information Drucker discovered that of the three generations of production data (pre-war, during the war and post war), war time data indicated a dramatic peak in production and a low in re-work losses (factory defect or compromised workmanship). What was especially interesting was that during this time of peak production a significant portion of the regular workforce were serving in the armed forces or were otherwise utilized for the war effort. In their places were temporary workers, many of whom were women that were generally less skilled and less experienced than the regulars. What was astonishing was that this temporary group of workers seemed to outperform the regular workforce that posted inferior production numbers pre and post W.W. II.

#### **Discussion point:**

- **How could a workforce made up largely of less skilled and less experienced workers out produce a skilled workforce?**
- **What do you think motivated them to be so productive and care so much about the quality of their work?**

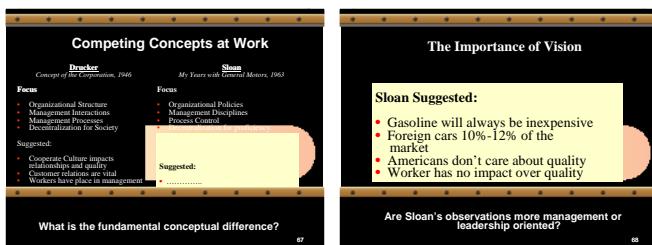
The story of G.M.'s organizational culture, which was clearly responsible for much of its successes and difficulties, came down to two men, G.M. founder Billy Durant and CEO Alfred E. Sloan (the man who was responsible for G.M.'s thriving success, as well as for bringing Drucker in to study the corporation). Arguably, the two men were diametrically opposed when it came to attributes, styles, and what they contributed to G.M., but they were both responsible for the corporation's growth and success.

Billy Durant was probably one of the true entrepreneurial geniuses of the 20th century. He was deeply vested and initially made his fortune in the carriage business when he watched first hand, Henry Ford "democratize the automobile." There were a number of auto manufacturers at the turn of the century, but most were small shops producing a custom vehicle that cost thousands of dollars. The average worker was making \$1.50 a day and could never afford to buy one. Ford's vision was to put an affordable, but dependable vehicle, in the hands of the average man. Henry Ford's success convinced Billy Durant that if he wanted to survive in the transportation business, he needed to forgo carriages and consider automobiles.

The contribution that Durant made was subtle but resounding. The one thing he noted is Ford only had an entry level vehicle that was very basic and one color. Durant looked around, took existing manufacturers and lured them into the same company, under the same roof, and called the company General Motors. Durant's contribution was to attract different markets to the same company. Whereas customers of the Ford Motor Company had little choice about the appearance and options, G.M. customers had their choice of numerous appearance and performance options. G.M. customers could even choose between different producers such as Chevrolet, Oldsmobile, and Oakland (Pontiac). Durant's genius was the ability to prompt consumers to go back to the same market five times and with each vehicle increase G.M.'s profit margins. Within a few years G.M. was the single largest manufacturer of cars, surpassing Ford Motor Company.

Durant was clearly a marketing genius, but his true distinction was his visionary leadership. Durant was able to transform an entire industry by forging a vision, selling his vision, finding a way forward, and then leading the way. Yet despite his leadership abilities and what he accomplished for the corporation he founded, Durant had a tendency to allow his ambitions to wander. Durant found it difficult to focus on the details and controls that were needed to harness the mega corporation that G.M. was becoming. Durant had a tendency to overspend, completely disregarding the constraint of budgets, which made his board of directors very nervous. Ideas and forward thinking had built G.M., but something else was needed to drive it.

The missing piece of the G.M. puzzle was a strong manager – named Alfred E. Sloan. Sloan, who was the president of a ball-bearing company, came into the picture when he was appointed to G.M.'s Board of Directors. Although it was Durant who appointed him, Sloan found Durant's business practices unnerving and undisciplined. Sloan and the Board wrestled the control of G.M. away from Durant for the second and final time in 1923, at which time Sloan assumed control of G.M. To his credit, Sloan took the entrepreneurial visions of Durant and gave them direction, discipline, and focus. By the 1940's Sloan came to be a master of corporate processes and the facilitation of disciplined management. Sloan was considered the proto-type for a CEO and was featured on the cover of Time Magazine more than once. However, just as Durant had his limitations, so did Sloan. Interestingly, Drucker discovered Sloan's weakness when he was investigating the incredible performance of the temporary workers and their managers during the war.



It can be argued that G.M.'s significant influence on management and leadership practices is exemplified by the tension between the legacy of visionary leadership of Durant and the disciplined management of Sloan. To Drucker's credit he was able to discover these competing, yet complimentary concepts, by examining the performance of the workers. Leadership, management, and the worker became organizational components that Drucker really focused in on his future works, starting with his publication of *Concept of the Corporation* which was his summary of the G.M. Study.

In his work, Drucker focused on the following:

- Organizational structure
- Management interactions
- Management processes

Drucker suggested:

- Decentralization (for proficiency)
- Cooperation (culture impacts quality)
- Increasing customer relations (which are vital)
- Workers having a place in management

In contrast, Alfred P. Sloan focused on:

- Organizational policies
- Management disciplines
- Process control

Sloan defended his choices and decisions at G.M. by arguing that:

- Gasoline will always be inexpensive
- Foreign cars will only ever comprise 10%-12% of the market
- Americans don't care about quality because they will frequently trade their vehicles in for new ones
- Workers have no impact over quality—process is vital

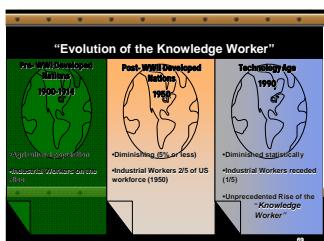
**Discussion topics:**

- When you look at the side by side comparison of the focuses and contentions of Alfred Sloan and those of Peter Drucker, what are the major contrasts?
- What do Drucker's concerns deal with as opposed to those of Sloan?
- Are Sloan's observations more management or leadership oriented?

Drucker, and to some degree Billy Durant, clearly demonstrated their ability to see beyond the "here and now" and identify the larger issues at play. Durant's vision manifested itself in the leadership that was necessary to convince numerous small automobile companies to unite under a single corporation that would surpass its competition. As for Drucker, his visionary approach manifested itself in the brilliant work that has proven to be predictive of leadership issues that each one of us faces today. Their work remains very influential.

**Application to Tribal Inspired Leadership:**

The competing concepts described tend to be universal, in the sense that they apply in all types of organizations, including modern community policing entities in both the public and private sectors. Through examination of the G.M. story, participants have the opportunity to apply the information to their own organizations. Furthermore, the assignment exercise described above facilitates the evaluation of community policing positions in terms of leadership and/or management suitability.

**Evolution of the Knowledge Worker**

With the rise of the industrial worker, what is known as transactional management became complicated. Working with machinery and assembly lines was not as simple as working as an agricultural laborer. Some training was necessary but in general many industrial workers were still interchangeable and relatively easily replaced. Therefore they could be managed and were considered more as a part of industrial process rather than as individual workers.

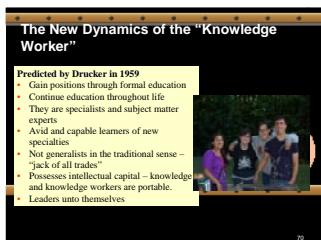
In the years preceding and during W.W. II, an explosion of innovation and industrial development occurred. Large corporations and industrial complexes emerged. Industrial workers were growing in numbers and agricultural workers continued to decline. Yet even with the growing complexity of the workplace and the extraordinary societal changes that accompanied the war, the “transactional approach” was still a preferred way to conduct business. Interestingly, the “transactional approach” seemed to be more important than ever because it allowed for the massive growth and expansion to be managed.

Management and leadership in a time of social change.

- Agricultural operations
- Government and the war efforts of W.W. I and W.W. II
- Industry and corporate growth that exploded to meet growing social demands

**Application to Tribal Inspired Leadership:** It is vital for today's community policing leaders and decision makers to grasp the historical concepts that led to the shared values that Tribal members embrace and how that impacts communities today. Especially worthy to note is the role that technology, its hastened development as a result of W.W. I and W.W.II and changing the dynamics of the relationship between leadership and the community. The potential certainly exists for exponential technological advancements to influence the dynamics of modern community policing leadership.

### The New Dynamics of the “Knowledge Worker”



Drucker characterizes knowledge workers as unique because they tend to possess the following unprecedented combination of qualities:

- Gain positions through formal education
- Continues education throughout life
- Specialists who hold positions that require them to be extremely knowledgeable about particular subject matter

- May be generalists in the sense that they are capable of quickly learning a new body of specialized knowledge (not generalists in the traditional sense – “jack of all trades”)
- They possess intellectual capital – knowledge and “knowledge workers” are portable. According to Drucker, “In the knowledge society the most probable assumption for organizations – and certainly the assumption on which they have to conduct their affairs – is that they need “knowledge workers” far more than knowledge workers need them” (Hickman, 1998, p. 548)
- These knowledge workers will be leaders unto themselves. Writer James O’Toole commented that leaders will become “leaders of leaders” (Hickman, 1998, p. 6)

After you summarize Drucker’s views on the advent of technology and “knowledge workers”, encourage the participants to consider whether the transactional model is capable of addressing the needs of a changing workforce. Then engage the participants in a discussion of their experience. Use the following or similar question to initiate a discussion:

- **Do you agree with Peter Drucker’s assessment?**
- **Are knowledge workers an issue for organizations responsible for community policing mission implementation? How?**
- **Can transactional management work in light of these changes?**
- **How do today’s leaders deal with the knowledge worker and cultural values, both, in addressing the leadership challenge?**

**Application to Tribal Inspired Leadership:** Public safety is populated with what Drucker refers to as “knowledge workers” (individuals that are highly trained, intellectually capable, and ultimately portable specialists). It is imperative that public safety leaders and decision makers become familiar with the unique characteristics of these invaluable human resources to better maximize their potential.



## The Distinction between Leadership and Management

The following section emphasizes the distinction between leadership and management. Peter Drucker, and the work of other writers and researchers such as Warren Bennis and John Kotter, effectively and clearly differentiated between leadership and management. Their work essentially resolved the competing concepts that Drucker identified in his study of G.M. back in 1944-46. Although their work is by no means simple or something that can be boiled down to a catch phrase, it is well represented by the following statement that Peter Drucker reportedly made while examining the organizational structure of a public sector organization:

“You are so concerned with doing things right that you are often failing to do the right things.”

Peter Drucker

### Discussion Topics:

- Does Drucker's reported statement made more than three decades ago, still apply today?
- Is it relevant in community policing? Does it have specific applications to a pandemic flu outbreak? How/why?
- Does this statement capture the distinctions between leadership and management? How?

**Application to Tribal Inspired Leadership:** The implications of “doing things right” as opposed to “doing the right things” are potentially immeasurable when it comes to community policing and more specifically in dealing with implementing community policing.

## Leadership and Management Compared



Building on the discussion of Drucker's conclusions the following chart captures the shift in perspectives between managers (that "do things right") and leaders (that "do the right things").

<b>Leadership and Management</b>	
<b>Leadership</b>	<b>Management</b>
<b>Leading through common vision</b>	<b>Few leaders (management focused)</b>
<b>Uniqueness, distinctiveness, specific competency</b>	<b>Leading by goal setting</b>
<b>Predictive of change (creative)</b>	<b>Cost driven benchmarks / high quality</b>
<b>More horizontal (level)organizational structure – with leader as social architect</b>	<b>Reactive to change</b>
<b>Empowering and facilitating</b>	<b>Hierarchical organizational structure – with leader as head</b>
<b>Information shared by many</b>	<b>Directing and supervising</b>
<b>Leader as the "coach"</b>	<b>Information controlled by few</b>
<b>Leader as an agent of change and culture evolution</b>	<b>Leader as the "boss"</b>
<b>Leaders responsible for cultivating leaders</b>	<b>Leader as force for maintaining a stable organizational culture</b>
<b>More leaders: throughout organizations</b>	<b>Leader responsible for cultivating managers</b>

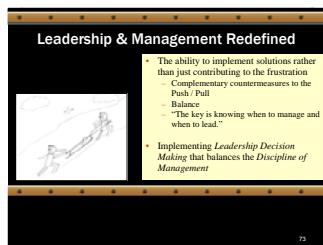
(Adapted from: *Likely Model of Twenty-First –Century Leadership*)

**Application to Tribal Inspired Leadership:** Appreciating the difference in manager and leader perspectives is a fundamental element for effective decision-making. This appreciation is a precursor for the remainder of the module.

Consider leadership and management in terms of your organization. Consider the following questions:

- **Which is considered more important in your organization?**
- **Which do you believe is more important in community policing?**
- **Can you have one without the other? If so, what are the consequences or impact on organizational performance?**

**Application to Tribal Inspired Leadership:** The dynamics described as the consequences of change may be present in most types of public and private sector organizations – including those involved in community policing functions and direct operations.



## Leadership and Management Redefined

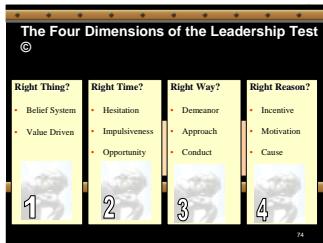
### Discussion topics:

- The difference between leadership and management in their organizations – especially as it pertains to their community policing mission.
- The presence of tension or lack of tension between leadership and management as it pertains to their core community policing functions.
- Why do you think this image appears on a slide discussing leadership and management?
- What does this graphic have to do with either concept?

Suggest that as noted by Bennis and Drucker, the push/pull of management and leadership can be addressed through two very tangible actions (skills):

- The ability to implement solutions, rather than just contributing to the frustration and tension that often naturally exists between leadership and management perspectives.
- Implementing leadership decision-making that balances the vital discipline of management.

**Application to Tribal Inspired Leadership:** Tension between leadership and management staff in community policing organizations could be a source of operational inefficiency. Public safety and community leaders may apply the principles described in this section to their own organizations in order to ensure that the “tension” does not compromise the organization’s mission and/or their own effectiveness as leaders.



## The Four Dimensions of the Leadership Test ©

Leadership and management start with good decision-making. If we can capitalize on the thinking of both Drucker and Bennis and accept that leaders begin with doing “the right thing”, while managers begin with “doing things right”, it allows us to begin to develop a tool. This tool can be used by both a leader and manager in the process of making decisions around personnel as well as tactical and operational issues. There are four dimensions of this tool that we should consider when making decisions.

### **The First Dimension: Are We Doing the Right Thing?**

Since “right” is certainly a subjective term, it is necessary that leadership be value and belief driven (organizational and personal). It is beliefs that become the parameters by which we make our decisions. Decisions that you make, especially under stress, will be based not only on your training, education, and experience, but also based on what you and your organization believe and value.

### **The Second Dimension: At the Right Time?**

Timing is critical to everything in life. The best intentions or decisions can become worthless or perhaps even dangerous if they are not thought out and/or properly timed. Timing is often a function of seizing opportunity and avoiding undue hesitation and impulsiveness.

### **The Third Dimension: In the Right Way?**

You can do the “right thing” at the right time but in the wrong way and fail in your leadership role. Issues of demeanor, style of approach, and personal/professional/organizational conduct are absolutely critical. It is important to note that perception (especially in community policing) is a powerful aspect of this dimension.

## The Fourth Dimension: For the Right Reason?

A leader can do the “right thing,” at the right time, in the right way but for the wrong reason and not have near the impact. The reason you do something as a leader will greatly influence the motivation of the people involved. People and leaders that make decisions that are simply self-serving will kill off motivation in their team. It is imperative that motivation and perceived motivation be considered in terms of incentive and cause. (See Drucker’s study of a G.M. factory, Appendix Module 2, A.)

### Leadership Test©

What evolves when considering these four dimensions in our decision-making process is what we will refer to as The Leadership Test©. This test forces our decision-making to both sides of the ledger so we consider both leadership as well as management issues and hopefully increase the quality of our decision-making both as a manager and a leader. For example, doing the “right thing” deals with intangible values. Timing is an issue related to both leadership and management. Doing things in the right way will require knowledge of procedure and protocol as well as ethical considerations. Finally, considering the reason we do things will address both ethical issues and possible self-serving rationalizations that may impact the entire decision-making process. To pass the Leadership Test© you must get a “yes” to all four questions. One “no” and you need to reconsider your decision.

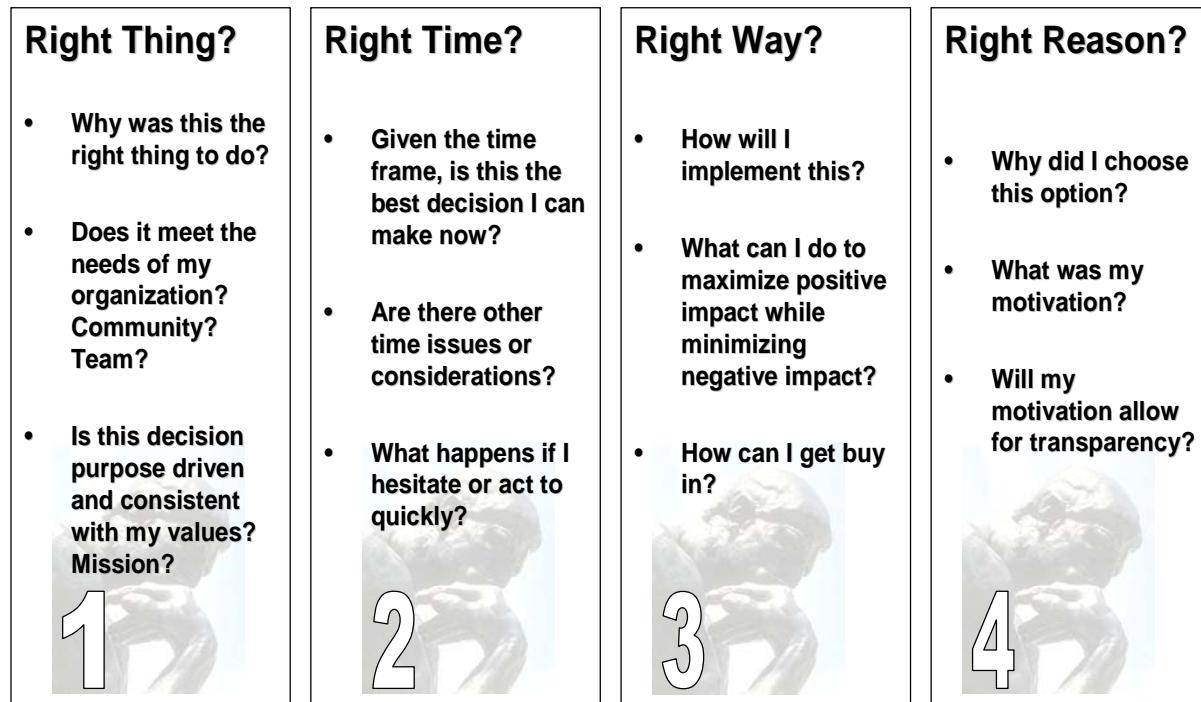
Management and leadership skills are not synonymous; they are distinctly different skill sets. The manager functions in a very tangible world while the leader functions in a very intangible world. The manager’s world is easy to measure while the leader’s world, because of its intangible qualities, is very difficult to measure. While it is not a perfect tool or the answer to leadership, it will improve the quality of our decision-making in our work-a-day world. That is its intended use. It is a macro tool that we can lay over the decision-making process to improve both the management and leadership aspects of the decision-making process.

#### The Leadership Test© asks:

- **Am I doing the right thing,**
- **At the right time**
- **In the right way**
- **And for the right reason?**

If a leader can answer yes to all four of these components of the Leadership Test © then the quality of their decision will most likely be bettered as both a manager and a leader (Gallagher-Westfall, 2007).

**Application to Tribal Inspired Leadership:** The Leadership Test © provides public safety and community leaders with a “take home tool” in terms of an easy to understand and use decision-making process that is amiable to each leader’s specific needs.



**Application to Tribal Inspired Leadership:** The Leadership Test © exercise, although entirely fictional and limited in scope, allows public safety and community leaders to practice utilizing a leadership decision-making process in addressing community policing issues. Additionally, the application of the leadership test seeks to impress upon community leaders the importance of being able to effectively articulate the difficult choices that they may have to make in a critical incident.

<p><b>Help Wanted Exercise: Part 2</b></p> <p>More Simple Questions:</p> <ul style="list-style-type: none"> <li>• Does leadership or management play a larger role in your job?</li> <li>• Which is more prominent in your original Help Wanted Ad?</li> </ul> 	<p><b>Help Wanted Exercise: Part 2</b></p> <p>Some Simple Questions:</p> <ul style="list-style-type: none"> <li>• Reexamine your Help Wanted ads considering elements such as:           <ul style="list-style-type: none"> <li>- Knowledge, Skills, Abilities (KSAs)</li> </ul> </li> <li>• Underline the elements that best fit the definition of management.</li> <li>• Circle all elements that best fit the definition of leadership.</li> <li>• Some elements may apply to both – pick one.</li> </ul>
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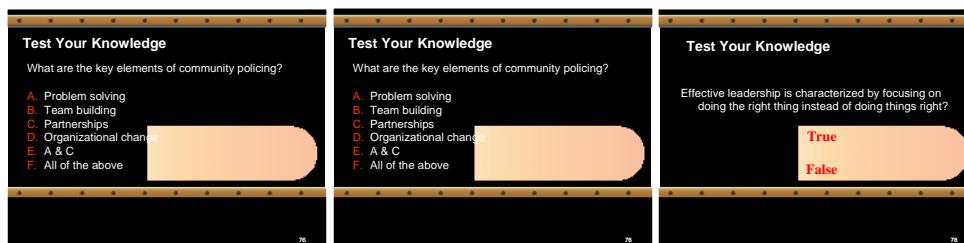
## Help Wanted Ad Exercise Part 2

Now, re-examine your Help Wanted Ads and simply circle all elements (knowledge, skills, abilities, task, responsibilities, and proficiencies) that best fit the definition of leadership. The elements that best fit the definition of management should be underlined.

### Discussion Topics:

- **Knowing what we know about leadership and management, which do you think plays a larger role in your job?**
- **Remember the Help Wanted Ads we worked on earlier? Which do you think was more prominent in the ad, leadership or management?**

### Test Your Knowledge



### Test Your Knowledge

1. What are the key elements of community policing?

- g) Problem solving
- h) Team building
- i) Partnerships
- j) Organizational change
- k) A & C
- l) All of the above

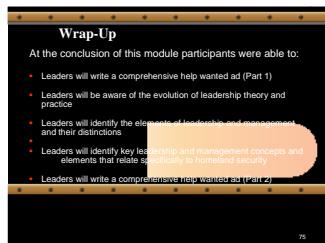
2. What are key elements of community policing leadership?

- g) Leading organizational change
- h) Promoting effective problem-solving strategies
- i) Building coalitions

- j) Building partnerships
- k) A & C
- l) All of the above

3. Effective leadership is characterized by focusing on doing the right thing instead of doing things right?

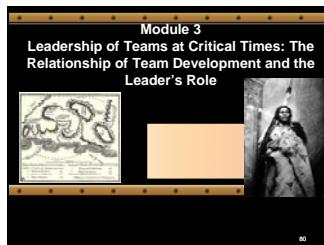
- c) True
- d) False



**Wrap-Up:** At the conclusion of this module participants were able to:

- Write a comprehensive Help Wanted Ad (Part 1)
- Discuss leadership and core cultural competencies
- Discuss the evolution of leadership and the knowledge worker
- Identify the elements of leadership and management and their distinctions
- Identify the four dimensions of leadership and management that relate specifically to community policing
- Identify the trends in community policing by looking to tomorrow
- Write a comprehensive Help Wanted Ad (Part 2)

## MODULE 3: Leadership of Teams at Critical Times: The Relationship of Team Development and the Leader's Role



### Overview

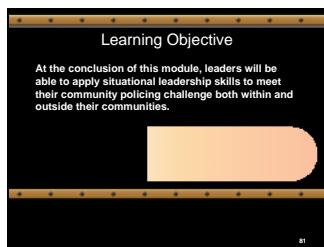
This module will present participants with the role situational leaders' play in addressing the leadership challenge strategies. In considering the role of situational leaders, focus will be on the premise that by utilizing the appropriate skills, leaders have the capacity to inspire and motivate people to perform despite challenging and unanticipated circumstances. That is, leaders who can quickly and efficiently adapt to rapidly changing circumstances or critical events are more likely to be able to harness the potential of their employees and organizations as a whole. This lesson will draw parallels between this description and the effectiveness of public safety and community decision-makers in inspiring their employees to embrace their community policing mission.

Key aspects of the Module involve developing a strong set of skills in communication, fostering vision, and building organizational infrastructure as well as addressing the leadership challenge within and outside their communities. Additionally, situational leadership requires leaders to be constantly evaluating two tenets of situational leadership. These tenets are expressed as the following two questions:

- **What do my people need?**
- **How can I best lead them?**

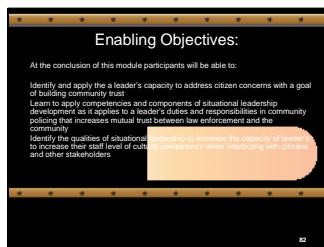
This module will include Lakota (Sioux) Chief Gall as a historical example of situational leadership. The example of Chief Gall's efforts in resisting white settlement into the Black Hills and his ultimate confrontation with the U.S. Army will be used to illustrate the power of situational leadership in motivating people into performance. Chief Gall's accomplishments and leadership will be explored as a template for today's leaders and decision-makers. Participants will be asked to identify, and will be provided with examples of current day leaders that exemplify successful situational leadership. The

lesson will seek to emphasize that effective leadership can and often will overcome a multitude of challenges.



### Learning Objective (LO)

At the conclusion of this module, leaders will be able to apply situational leadership skills to fulfill their community policing missions both within and outside their communities.



### Enabling Objectives (EO)

At the conclusion of this module participants will be able to:

- Identify and apply the a leader's capacity to address citizen concerns with a goal of meeting the community policing challenge
- Learn to apply competencies and components of situational leadership development as it applies to a leader's duties and responsibilities in community policing that increases mutual trust between law enforcement and the community
- Identify the qualities of situational leadership to enhance the capacity of leader's to increase their staff's level of cultural competency when interacting with citizens and other stakeholders
- Wrap-up



## Test Your Knowledge

1. In the face of a crisis, a situational leader would:
  - a) Be adaptable and flexible\*
  - b) Not deviate from the established strategic plan
  - c) Consider policy as the ultimate determining factor
  - d) All of the above
2. A situational leader identifies and responds to the needs of their people.
  - a) True
  - b) False
3. A situational leader identifies and responds to the circumstances of the event.
  - a) True
  - b) False



## Situational Leadership



### How many of you are familiar with The Battle of Little Big Horn?

#### Battle of Little Big Horn Overview

In 1875 a Senate Commission met with Red Cloud and other Sioux (Lakota) chiefs to negotiate legal access for miners rushing to the Black Hills and offered to buy the region for \$6 million. But the Sioux leaders refused to alter the terms of the 1868 Fort Laramie Treaty, and declared they will protect their lands from intruders if the U.S. Government would not. Federal authorities ordered the resistant Sioux chiefs to report to their reservations by January 31, 1876. Gall, Sitting Bull, Crazy Horse, and others defied of the Government's order.

On June 25, 1876, General Alfred Terry ordered George Armstrong Custer to find all defiant Tribes and order them to comply with the Government order. Custer discovered Sitting Bull's encampment, which included the Lakota, Northern Cheyenne, and Arapaho, on the Little Bighorn River. Custer decided to attack the encampment before the Indians could leave the area. Custer divided his troops into three groups. Custer would attack from the North, Major Marcus Reno from the West, and Captain Miles W. Keough from the South.

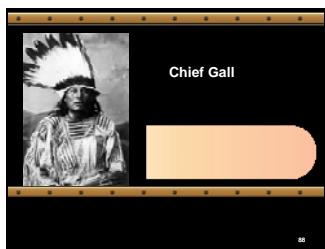
The first group to attack was Major Reno's second detachment (Companies M, A and G), after receiving orders from Custer. Custer issued this order because his Crow scouts reported Sioux tribal members were alerting the encampment. Ordered to charge, Reno began the attack on the Lakota and the other tribes. The orders, made without accurate knowledge of the village's size, location, or the warriors' propensity to stand and fight, had been to pursue the Native Americans and "bring them to battle." Reno's force crossed the Little Bighorn at the mouth of what is known today as Reno Creek around 3:00 p.m. They immediately realized that the Lakota, Northern Cheyenne, and Arapaho were present "in force and not running away."

When Reno surprised the Lakota, Northern Cheyenne, and Arapaho on the Little Bighorn many of the excitable youths, almost unarmed, rushed madly and blindly to meet the intruder, and the scene might have unnerved even an experienced warrior. It

was Gall, with not a garment upon his superb body, who on his black charger dashed ahead of the boys and faced them. He stopped them on the dry creek, while the bullets of Reno's men whistled about their ears. It is reported that Gall exclaimed,

"Hold hard, men! Steady, we are not ready yet! Wait for more guns, more horses, and the day is yours!"

They obeyed, and in a few minutes the signal to charge was given, and Reno retreated pell mell before the onset of the Lakota.



### Chief Gall Overview

This is the first remembered story of the famous chief, but other boyish exploits foretold the man he was destined to be. He fought many sham battles, some successful and others not; but he was always a fierce fighter and a good loser. Once he was engaged in a battle with snowballs. There were probably nearly a hundred boys on each side, and the rule was that every fair hit made the receiver officially dead. He must not participate further, but must remain just where he was struck.

Gall's side was fast losing, and the battle was growing hotter every minute when the youthful warrior worked toward an old water hole and took up his position there. His side was soon annihilated and there were eleven men left to fight him. He was pressed close in the wash-out, and as he dodged under cover before a volley of snowballs, there suddenly emerged in his stead a huge gray wolf.

His opponents fled in every direction in superstitious terror, for they thought he had been transformed into the animal. To their astonishment he came out on the farther side and ran to the line of safety, a winner! It happened that the wolf's den had been partly covered with snow so that no one had noticed it until the yells of the boys aroused the inmate, and he beat a hasty retreat. The boys always looked upon this incident as an omen.

Gall had an amiable disposition but was quick to resent insult or injustice. This sometimes involved him in difficulties, but he seldom fought without good cause and was popular with his associates. One of his characteristics was his ability to organize,

and this was a large factor in his leadership when he became a man. He was tried in many ways, and never was known to hesitate when it was a question of physical courage and endurance. He entered the public service early in life, but not until he had proved himself competent and passed all tests. When a mere boy, he was once scouting for game in midwinter, far from camp, and was overtaken by a three days' blizzard. He was forced to abandon his horse and lie under the snow for that length of time. He afterward said he was not particularly hungry; it was thirst and stiffness from which he suffered most.

One reason the Indian so loved his horse or dog was that at such times the animal would stay by him like a brother. On this occasion Gall's pony was not more than a stone's throw away when the storm subsided and the sun shone. There was a herd of buffalo in plain sight, and the young hunter was not long in procuring a meal.

This chief's contemporaries still recall his wrestling match with the equally powerful Cheyenne boy, Roman Nose, who afterward became a chief well known to American history. It was a custom of the northwestern Indians, when two friendly tribes camped together, to establish the physical and athletic supremacy of the youth of the respective camps. The "Che-hoo-hoo" is a wrestling game in which there may be any number on a side, but the numbers are equal. All the boys of each camp are called together by a leader chosen for the purpose and draw themselves up in line of battle; then each at a given signal attacks his opponent.

In this memorable contest, Matohinshda, or Gall, was placed opposite Roman Nose. The whole people turned out as spectators of the struggle, and the battlefield was a plateau between the two camps, in the midst of picturesque Bad Lands. There were many athletic youths present, but these two were really the Apollos of the two tribes.

In this kind of sport it is not allowed to strike with the hand, nor catch around the neck, nor kick, nor pull by the hair. One may break away and run a few yards to get a fresh start, or clinch, or catch as catch can. When a boy is thrown and held to the ground, he is counted out. If a boy has met his superior, he may drop to the ground to escape rough handling, but it is very seldom one gives up without a full trial of strength.

It seemed almost like a real battle, so great was the enthusiasm, as the shouts of sympathizers on both sides went up in a mighty chorus. At last all were either conquerors or subdued except Gall and Roman Nose. The pair seemed equally matched. Both were stripped to the breech clout, now tugging like two young buffalo or elk in mating time, again writhing and twisting like serpents. At times they fought like two wild stallions, straining every muscle of arms, legs, and back in the struggle. Every now and then one was lifted off his feet for a moment, but came down planted like a tree, and after swaying to and fro soon became rigid again.

All eyes were upon the champions. Finally, either by trick or main force, Gall laid the other sprawling upon the ground and held him fast for a minute, then released him and stood erect, panting, a master youth. Shout after shout went up on the Sioux side of the camp. The mother of Roman Nose came forward and threw a superbly worked buffalo robe over Gall, whose mother returned the compliment by covering the young Cheyenne with a handsome blanket.

Chief Gall earned his reputation for being a great military strategist and warrior while aligned with Red Cloud.

Undoubtedly these early contests had their influence upon our hero's career. It was his habit to appear most opportunely in a crisis, and in a striking and dramatic manner to take command of the situation. The best known example of this is his entrance on the scene of confusion when Reno surprised the Sioux on the Little Bighorn. Many of the excitable youths, almost unarmed, rushed madly and blindly to meet their attackers and the scene might have unnerved even an experienced warrior. It was Gall, with not a garment upon his superb body, who on his black charger dashed ahead of the boys and faced them. He stopped them on the dry creek, while the bullets of Reno's men whistled about their ears.

"Hold hard, men! Steady, we are not ready yet! Wait for more guns, more horses, and the day is yours!"

They obeyed, and in a few minutes the signal to charge was given, and Reno retreated before the counterattack of the Sioux.

Sitting Bull had confidence in his men so long as Gall planned and directed the attack, whether against United States soldiers or the warriors of another tribe. He was a strategist, and able in a twinkling to note and seize upon an advantage. He was really the mainstay of Sitting Bull's effective last stand. He consistently upheld his people's right to their buffalo plains and believed that they should hold the government strictly to its agreements with them. When the treaty of 1868 was disregarded, he agreed with Sitting Bull in defending the last of their once vast domain, and after the Custer battle entered Canada with his chief. They hoped to bring their lost cause before the English government and were much disappointed when they were asked to return to the United States.

Gall finally reported at Fort Peck, Montana, in 1881, and brought half of the Hunkpapa band with him, whereupon he was soon followed by Sitting Bull himself. Although they had been promised by the United States commission who went to Canada to treat with them that they would not be punished if they returned, no sooner had Gall come down than a part of his people were attacked, and in the spring they were all brought to Fort Randall and held as military prisoners. From this point they were returned to Standing Rock agency.

When "Buffalo Bill" successfully launched his first show, he made every effort to secure both Sitting Bull and Gall for his leading attractions. The military was in complete accord with him in this, for they still had grave suspicions of these two leaders. While Sitting Bull reluctantly agreed, Gall haughtily said: "I am not an animal to be exhibited before the crowd," and retired to his teepee. His spirit was much worn, and he lost strength from that time on. That superb manhood dwindled, and in a few years he died. He was a real hero of a free and natural people, a type that is never to be seen again.<sup>1</sup>

(Excerpted from the book *Indian Heroes and Great Chieftains*, by Charles A. Eastman, 1918.)

**Application to Tribal Inspired Leadership:** The dilemma that Chief Gall faced is not that different from the challenging and unanticipated circumstances during a Little Big Horn outbreak or other critical incidents. Familiarity with the actions that Chief Gall took and the long term ramifications of his decisions offer public safety and community leaders the opportunity to gain insight into the challenges that they may face to fulfill their leadership challenge.



### Chief Gall – Situational Leadership Historic Profile

During Gall's younger days, many Americans migrated to western North America passing through the Great Plains on the Oregon and Santa Fe Trails, the California gold rush greatly increased this migration. In an effort to avoid violence and protect the white settlers, the United States government undertook negotiations with the Native American Plains tribes living between the Arkansas and Missouri Rivers to ensure protected right-of-way for the migrants.

These negotiations resulted in the Fort Laramie Treaty of 1851. Parties to this Treaty included the United States Government and representatives of the Sioux, Cheyenne, Arapaho, Crow, Shoshone, Assiniboine, Mandan, Hidatsa, and Arikara Nations. The treaty guaranteed traditional territorial claims of the Tribes and the Tribes guaranteed

<sup>1</sup> The Chief Gall narrative is a compilation derived from various authors and on-line encyclopedias including, but not limited to, Columbia Encyclopedia, Britannica Concise Encyclopedia, and university websites. Also, this narrative is for model leadership purposes only.

safe passage for the settlers heading west on the Oregon Trail. Also, in return for the guarantee of a safe passage for the settlers the U.S. Government promised the Tribes an annuity of fifty thousand dollars for fifty years (this was later amended to last only ten years) with the ability to build roads and forts in Tribal territories.

Gall rose to prominence among the Lakota as a warrior in Red Cloud's campaigns, but he was unhappy with the 1868 Fort Laramie Treaty that brought an end to those hostilities and allied himself with Sitting Bull and others who refused to remain within the territory set aside for them.

Gall eventually became Sitting Bull's military chief, and led victorious attacks on U.S. Army troops along the Yellowstone River in 1872 and 1873. During this time the intrusion of white settlers into the Black Hills continued. Sitting Bull had confidence in his men so long as Gall planned and directed the attack, whether against United States soldiers or the warriors of another tribe. Gall excelled in organizational skills and was a brilliant military strategist. He always defended his people's right to their traditional lands and never trusted the U.S. Government to uphold their part of any agreements with the Tribes. When the treaty of 1868 was disregarded, he agreed to join Sitting Bull in defending their Tribal lands.

The Treaty of 1868 was ultimately broken by the failure of the United States to stop the mass intrusion of settlers and miners through Tribal lands during the Pike's Peak Gold Rush. The dilemma of unrelenting intrusion of white settlers into Tribal lands increased with the discovery of gold in the Black Hills. The influx of white prospectors and settlers heightened the Tribes concerns for preserving their lands. This dilemma was exacerbated with the miners and settlers demanding access to the gold fields in traditional Tribal lands along with increased protection from the U.S. Government.

At the battle of the Little Bighorn in 1876, Gall led the Hunkpapa warriors against the U.S. Army and who first drove Major Marcus Reno from the Lakota's encampment and then swept north to join Crazy Horse and his forces in the attack on Custer. Victory was short lived though. After the Custer battle Chief Gall along with Sitting Bull entered Canada to avoid a battle with U.S. Army where they would be outnumbered by the U.S. Army's vast numerical superiority. They hoped to bring their lost cause before the English government but were disappointed when the British requested that they return to the United States.

### **Chief Gall's Historical Profile**

In 1875 a Senate Commission met with Red Cloud and other Sioux (Lakota) chiefs to negotiate legal access for miners rushing to the Black Hills and offered to buy the region for \$6 million. But the Sioux leaders refused to alter the terms of the 1868 Fort Laramie

Treaty, and declared they will protect their lands from intruders if the U.S. Government would not. Federal authorities ordered the resistant Sioux chiefs to report to their reservations by January 31, 1876. Gall, Sitting Bull, Crazy Horse, and others defied of the Government's order.

Chief Gall knew war was inevitable. General George Crook commanded the rebellious Sioux to move onto designated reservations. Gall, Sitting Bull and Crazy Horse refused to comply and move their people. Infuriated by unjust assaults, Sitting Bull gave notice: "We are an island of Indians in a lake of whites... These soldiers want war. All right, we'll give it to them!"<sup>2</sup>

Gall knew the U.S. Army would be coming to him and his people to a reservation. He also knew he would not agree to this and would fight the U.S. Army in resistance. He had won all his previous battle with the U.S. Government but time and resources were running out. It was obvious there was no end to the stream of white settlers entering into Tribal lands. And a final all out battle was needed to stop the stream of white settlers once and for all.

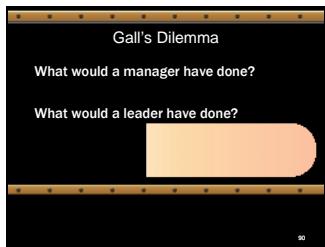
On June 10, 1876, General Alfred Terry ordered George Armstrong Custer to find all defiant Tribes and order them to comply with the U.S. Government order. Chief Gall, Sitting Bull, and others made camp at the Little Big Horn river. Although Gall knew there was a military action directed at the Sioux no one in the encampment was aware that Colonel Custer's troops were about to attack them.

Here was Chief Gall's great dilemma: Major Reno surprised the Lakota, Northern Cheyenne, and Arapaho on the Little Bighorn. Many of the excitable youths, almost unarmed, rushed madly and blindly to meet the attack, and the scene might have unnerved even an experienced warrior. It was Gall, unclothed in the midday sun, was caught by surprise by the U.S. Calvary attack.

**Application to Tribal Inspired Leadership:** The dilemma that Chief Gall faced is not that different from the likelihood of the challenges and unanticipated circumstances during a Little Big Horn outbreak or other critical incident. Familiarity with the actions that Chief Gall took and the long term ramification of his decisions offers community leaders decision making tools.

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<sup>2</sup> "Sioux Wars" retrieved from <http://www.u-s-history.com/pages/h1187.html> on October 13, 2010.



### Discussion Questions:

- **What would a manager have done in this scenario?**
- **What would a leader have done in this scenario?**



### Chief Gall's Historical Approach

#### Discussion questions:

- **What did Chief Gall do?**
- **Were his specific actions that of a leader or a manager?**
- **What did Chief Gall do that we didn't capture in our previous list?**

### Text Historical Approach

Faced with a battle of potentially great significance, Chief Gall addressed the situation with his warriors head-on. Riding ahead of his warriors and leading them to reorganize and arm themselves they were better prepared to repel Major Reno's surprise attack. The warriors regrouped and counter attacked Reno's forces repelling Major Reno and foiling Custer's attack strategy.

Not expecting an organized and determined counter attack Major Reno was forced into the heavy brush and arguably shaken to the point his troops efficiency was marginalized. Major Reno was forced to retreat to what is now known as Reno Hill.

There Reno and his men fought a defensive battle experiencing heavy losses from the combined Tribal warriors under Gall's leadership. Reno, later joined by Captain Frederick W. Benteen's battalion, could only maintain their position and hope for reinforcements. The result was Chief Gall could now redirect his efforts to defeating Custer. He rode North and joined Crazy Horse in the attack on Colonel Custer.

### **Chief Gall's Resolution:**

Faced with a battle of potentially great significance, Chief Gall addressed the situation with his warriors head-on. Riding ahead of his warriors and leading them to reorganize and arm themselves they were better prepared to repel Major Reno's surprise attack. The warriors regrouped and counter attacked Reno's forces repelling Major Reno and foiling Custer's attack strategy.

Not expecting an organized and determined counter attack Major Reno was forced into the heavy brush and arguably shaken to the point his troops efficiency was marginalized. Major Reno was forced to retreat to what is now known as Reno Hill. There Reno and his men fought a defensive battle experiencing heavy losses from the combined Tribal warriors under Gall's leadership. Reno, later joined by Captain Frederick W. Benteen's battalion, could only maintain their position and hope for reinforcements. The result was Chief Gall could now redirect his efforts to defeating Custer. He rode North and joined Crazy Horse in the attack on Colonel Custer.

### **Consequences of Chief Gall's Resolution**

Faced with a battle of potentially great significance, Chief Gall addressed the situation with his warriors head-on. Riding ahead of his warriors and leading them to reorganize and arm themselves they were better prepared to repel Major Reno's surprise attack. It was his habit to appear most opportunely in a crisis, and in a striking and dramatic manner to take command of the situation. Reno's surprise attack serves as Chief Gall's best known example of this; although unclothed and caught in the early afternoon sun his valiant entrance on the scene of confusion when Reno surprised the Sioux on the Little Bighorn and brought organization and leadership to his warriors. His excitable warriors, almost unarmed, rushed madly and blindly to meet the intruder, and the scene might have unnerved even an experienced warrior. It was Gall, on his black charger, that dashed ahead of his warriors and faced them. He stopped them on the dry creek, while the bullets of Reno's men whistled about their ears.

"Hold hard, men! Steady, we are not ready yet! Wait for more guns, more horses, and the day is yours!"

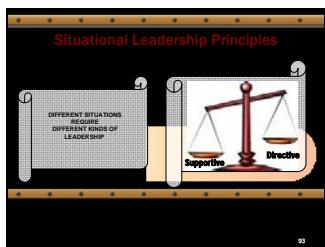
They obeyed, and in a few minutes the signal to charge was given, and Reno retreated in the face the Sioux. The warriors regrouped and counter attacked Reno's forces repelling Major Reno and foiling Custer's attack strategy.

Chief Gall then redirected his efforts to defeating Colonel Custer. He rode North and joined Crazy Horse in the attack on Colonel Custer. The combined forces of the Sioux, Northern Cheyenne, and Arapaho fiercely counterattacked Custer. Within a short time Custer's entire force was wiped out. This would be recorded in history as the greatest defeat of the U.S. Army at the hands of Native American forces in American history.



### Discussion Questions:

- **What may have happened if Chief Gall decided to hold back and let his young warriors charge without adequate arms? Would doing so have been considered wrong?**
- **What may have been the long term consequences?**



### Situational Leadership Principles

The term 'situational leadership' was coined by researchers Hersey and Blanchard in 1969. Although Hershey and Blanchard have developed a specific model based on the concept of situational leadership, many others have refined and revised it and some basic principles (outside the specifics of Hershey and Blanchard) have emerged. Perhaps the most elemental and self-evident of these is the following:

## DIFFERENT SITUATIONS REQUIRE DIFFERENT KINDS OF LEADERSHIP

In essence this principle says that a leader must adapt their style to the situation they face and constantly correct and compensate for new variables that are introduced.

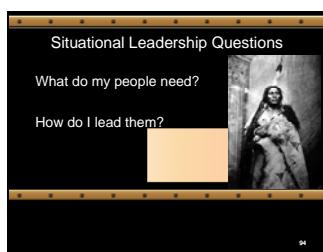
Secondly, situational leadership can be described in a variety of different terms and formal models (such as those copyrighted by Ken Blanchard) but for most purposes it can be expressed as a continuously shifting balance between the following behaviors and actions of the leader:

- **DIRECTIVE**
- **SUPPORTIVE**

Essentially, this means that leaders take either a directive or supportive role depending on the competencies and skills of their people (employees, member of organizations/communities).

For instance, a leader can be VERY directive or only SLIGHTLY directive; be VERY supportive, or only SLIGHTLY supportive. Generally, as the level of supportive behavior rises it conversely impacts the level of directive behavior (and vice versa). This creates a simple scale effect as is represented on the slide.

**Application to Tribal Inspired Leadership:** The situation leadership approach is based on leaders' ability to constantly assess and meet the needs of their followers (employees) in the context of (often rapidly) changing circumstances. This basic premise of situational leadership lends itself perfectly to the types of fluid situations that community policing leaders may find themselves in. Using the situational approach may help leaders effectively apply community policing strategies and maximize the performance of their employees during critical incidents such as a Little Big Horn outbreak.



## Situational Leadership Questions

- **What do my people need?**
- **How do I lead them?**

These simple questions create the need for a leader to balance two perspectives simultaneously; one that evaluates externally (the “people”) and one that looks internally (“how do I”). These perspectives constantly seek to balance out. As the competencies of the “people” improve, the need for the leader to exert directive behavior and influence is replaced with supportive behavior/influence. Suggest to the class that these are the very questions that Chief Gall considered and successfully answered at the Battle of Little Big Horn.



The fundamental concepts of situational leadership can be explained by the “Iowa Studies” conducted by Kurt Lewin in the 1930’s (some 39 years before the formalization of the situational leadership model). Summarized below is the Kurt Lewin study.

### Kurt Lewin Study

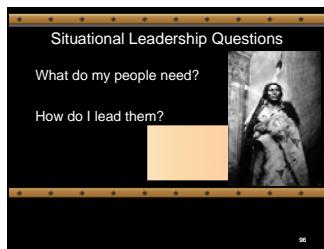
Kurt Lewin conducted the Iowa Studies in the 1930’s. Recognizing that each of these leadership styles [democratic and autocratic] had been successful, he set about to empirically test their impact on productivity. Since laissez faire was in essence the absentee leader the style could not be studied, however the conclusion was simply that “laissez faire” was in essence delegation and seemed to understandably work well with units of experienced and capable workers that one could properly delegate to.

Using scout groups as the experimental subjects and focusing on the identified leadership styles of the scout masters, he determined the scout masters that were more autocratic (controlling, directing, more apt to tell) and the more democratic (two way conversations, suggesting, encouraging). He then directed each of the scoutmaster groups that they should use their preferential styles uniformly through the period of observation.

What Lewin found is that the autocratic leader was successful early on with the new scouts, but as time progressed and the scouts became more proficient in fundamental scouting skills and the autocratic behavior became irritating and frustrating and their performance fell. With the democratic scout leaders he found that while it took the groups longer to learn the basics of scouting that over time, democratic groups became proficient and sustained continued growth.

Lewin's studies began to identify under what situations the leadership styles were more effective. This was followed by the Ohio State Studies that were able to identify the two primary functions of the leader were that of "initiating" and "consideration" behaviors. This translates to "task" and "relationship" behaviors and more currently to "directive" and "supportive behaviors." The Michigan Studies then determined that the more people centered leaders were, the more likely they were to be effective over the long term; validating Lewin's findings at Iowa.

**Application to Tribal Inspired Leadership:** The research of Kurt Lewin is a key aspect of situational leadership and its application to community policing leadership. It provides insight into the long-term impacts and consequences of supportive and directive behaviors. This information may have encouraged community policing leaders and decision makers to carefully consider properly balancing their directive and supportive roles to ensure that maximizing immediate efficiency does not limit future capacity for improvement.



Let's revisit Chief Gall's example and tie it together with the key points of the Lewin study. To be effective situational leaders you must be able to take the following series of leadership steps:

- Continuously assess the situation
- Continuously assess the skills, competencies, and commitment of your people
- Constantly ask yourself two vital questions:
  - What do my people need?
  - How do I lead them?
- Be willing and ABLE to adjust your leadership style to meet their needs

Ultimately, situational leadership puts the responsibility on the leader to be willing and able to change and meet the needs of the follower in order to maximize performance.



### **Positive aspects of situational leadership:**

- Tried and true – it's been used successfully for a long time and is widely accepted as an effective model of leadership.
- Practical – it's easy to understand and implement, based on really simple concepts.
- Prescriptive – if you understand the principles behind it, situational leadership tells the leader what to do, how to respond to a situation, and provides guidelines.

### **Negative aspects of situational leadership:**

- Addresses leadership as applied to a group. Can also be applied to an individual, but what about individuals within a group? What do you do when one or more of the team members has a different need than the group as a whole?

### **Discussion Questions:**

- What aspects of situational leadership will help you in instilling a the community policing philosophy in your organization? In your jurisdiction?
- Are there any aspects of situational leadership that you do not believe will be relevant to the application of the community policing mission strategies in your organization? In your jurisdiction?



- **How many of you are familiar with this man?**
- **Based on what you have heard about him, is he a leader? Is he a situational leader?**

### David Petraeus Abbreviated Resume:

- Served as Commanding General of the U.S. and Int'l forces in Iraq in 2007-2008
- Now serving as head of U.S. Central Command
- MPA from Woodrow Wilson School of International Affairs, Princeton U. (1985)
- PhD from Woodrow Wilson School of International Affairs, Princeton U. (1987) – dissertation, “The American Military and the Lessons of Vietnam”
- BS from U.S.M.A. (1974)
- Two awards of the Defense Distinguished Service Medal, two awards of the Distinguished Service Medal, two awards of the Defense Superior Service Medal, four awards of the Legion of Merit, the Bronze Star Medal for valor, the State Department Superior Honor Award, the NATO Meritorious Service Medal, and the Gold Award of the Iraqi Order of the Date Palm
- He is a Master Parachutist and is Air Assault and Ranger qualified. He has also earned the Combat Action Badge and French, British, and German Jump Wings
- In 2005 he was recognized by the U.S. News and World Report as one of America's 25 Best Leaders
- In 2007 he was named by Time magazine as one of the 100 most influential leaders and revolutionaries of the year and in 2007 named one of four runners-up for Time Person of the Year
- Selected in a poll conducted by Foreign Policy and Prospect magazines as one of the world's top 100 public intellectuals
- Chosen by Esquire magazine as one of the 75 Most Influential People of the 21st Century

## **Petraeus as a Situational Leader**

### **Moving Into Iraq:**

- Petraeus got the call on February 6, 2003 – he and the 101<sup>st</sup> Airborne (aka, the Screaming Eagles) had 6 weeks to deploy to Kuwait (18,000 soldiers, vehicles, and equipment – everything from Fort Campbell, KY to Kuwait).
- The 101<sup>st</sup> was in fight mode. They went into Kuwait knowing they'd move immediately into Iraq as part of then called Operation Iraqi Freedom.
- In this fight mode, the 101<sup>st</sup> moved north, taking one city after another. The first on April 1 and by April 9, Saddam Hussein's government had collapsed. On April 14, the Pentagon declared an end to major hostilities in Iraq.
- The 101<sup>st</sup> thought they'd go just a bit North of Baghdad and stop.

### **Moving Into Mosul:**

- Then, on April 18, Petraeus gets another call. The unit that was supposed to go into Mosul couldn't. (They were supposed to come in from Turkey and the Turkish government said no at the last minute.) So, the 101<sup>st</sup> got the job.
- The 101<sup>st</sup> went, with almost no information and less preparation.
- Petreaus sent Anderson, the Col. of his 2<sup>nd</sup> Division to scope Mosul. This is how he did it. He didn't know if Mosul needed to be occupied or taken. Big difference! So, he decided to get in a car, ride around for 6 hours.... if he got shot at, he'd figure that the city was hostile and they'd have to take it. If he didn't get shot at, he'd figure they could simply occupy the city.
- Anderson didn't get shot. No one even threw rocks at him. So, he recommended to Petraeus that they occupy the city, not attack it. Instead they set up headquarters in one of Saddam's former palaces in the middle of April.
- The city of Mosul was a wreck. EVERYTHING needed his immediate attention. There was no water, no electricity, and no garbage removal. Shops were closed. The leaders were gone. There was no government. No gas, no economy, no basic services. Buildings were rubble.
- The SCREAMING EAGLES, who had been in fight mode, were suddenly faced with a much different mission... Nation Building. He'd done this before. In Haiti and Bosnia. He made nation building the major focus of the 101<sup>st</sup>.
- He held local elections; jump started the economy, oversaw public works programs, and began over 4,500 re-construction projects. Used "commander's discretionary funding" to do such.
- How did he accomplish all of this? He assessed the situation and the skills, competencies, and commitment of his people. All of which were VERY high. He had an extremely well trained division, lots of resources... it was the

situation that required so much of his attention. He was did everything and was everywhere at once. He encouraged his people and the people of Mosul along the way and he gave them what they needed to succeed. He said this about himself... (page 7 – the Accidental Statesman)

- “Some people will say Petraeus is way down into details, and I have that capacity. Others will say, ‘Man, he just let me do my thing.’ The truth is, it takes all of the above. Leadership styles should vary depending on who is being led, how much detailed guidance and supervision they need, and their capacity for sound independent action.”
- Doesn’t this sound familiar? Doesn’t it sound like our two cliff note questions? What do my people need and how do I lead them?
- He rebuilt the University of Mosul as one of those 4,500 re-construction projects. WHY? Because he asked those two questions. The unique part about THIS example is that “his people” were actually his people AND the people of Mosul.
- When the fighting started, there were 35,000 students enrolled at the University. Petraeus asked himself... If these students weren’t in school, they’d be on the streets of Mosul... Contributing to the problem. Not helping. He rebuilt the school, the system, got teachers, and opened the school ASAP!

**A Situational Leader?**

Petraeus got the call on February 8, 2003 – he and the 101st Airborne Division were sent to Iraq to liberate Kuwait. Then, on April 9, Petraeus gets another call. The unit that was supposed to go into Mosul couldn't. So, the 101st got the job. He had 10 days to come up with a plan to rebuild the economy, reconstruct public works programs, and begin over 4,500 re-construction projects. He rebuilt the University of Mosul as one of those 4,500 re-construction projects.

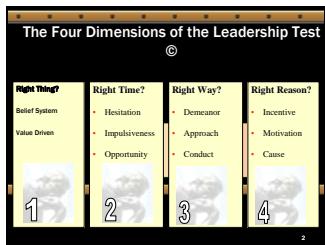
General David Petraeus,  
U.S. Army

**Based on what we just discussed, is David Petraeus a situational leader?  
Why?**

**Examples of Situational Leaders**

Lakota Chief Gull    U.S. Army General David Petraeus    Other

**Can you identify other current day examples of situational leaders in community policing leadership positions?**



**Application to Tribal Inspired Leadership:** The application of the Leadership Test © to actual modern day community policing leaders is an opportunity for participants to practice the process of applying the Leadership Test © to the complex issues of the Little Big Horn.

### Leadership Wheel Exercise/Group Response



### The Consequences of Chief Gall's Resolution

#### Chief Gall Pay Off

Let's take a look at the situation I faced with the Northern Cheyenne, Arapaho, and my fellow Lakota. Those warriors did not lack competence or ability; they were startled and disorganized. They were well seasoned and brave but because of the challenging situation they faced – each one reacted in a disorganized manner due to Major Miles surprise attack. My leadership responsibility was to recognize what they needed to reorient their commitment, dedication, and bravery. For my braves, the Lakota, Northern Cheyenne, and Arapaho this meant a tactful and firm example. I headed off the counter attack of my warriors delaying their charge and mounting an organized counter attack with my warriors by exclaiming "Hold hard, men! Steady, we are not ready yet! Wait for more guns, more horses, and the day is yours!"

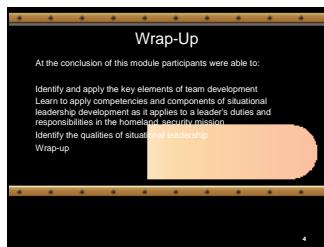
The situation you could face during a leadership challenge may not be that different from Little Big Horn. The potential of a challenging and overwhelming circumstance is real, especially when concern for self preservation or even a general disillusionment may seem to overwhelm duty and commitment. The benefit of orientating to situational

leadership under these circumstances is the capacity to assess and alter leadership approaches quickly and fluently, without compromising consistency.

Through situational leadership a leader recognizes that not all employees are the same. They are different, have different needs, and need not be treated the same. In such a circumstance, a situational leader must identify the unique needs of individual employees. The key is to diagnose what motivates them to perform their duty. Once this diagnosis is completed, situational leaders may find themselves taking a variety of actions, some in a coaching style, others supportive, still others directive in nature.

An effective situational leader will maintain a flexibility of action that may make the difference between a crippling loss of employee commitment and a dedicated organization willing to face any challenge. Whether it is a surprise attack at the Battle at Little Big Horn or a leadership challenge, the essence of situational leadership is the same: continuously determine the unique needs of your employees and adjust your leadership style to encourage high commitment and competency in the organization. When time and divergent interests require practical leadership action, situational leadership may be a good means of ensuring that you are doing the right thing, at the right time, in the right way, and for the right reasons.

**Application to Tribal Inspired Leadership:** The Little Big Horn vignette is designed to introduce the class participants to the real issue of a leadership challenge to the public and private sector agencies involved in community policing. The Leadership Wheel activity is a realistic exercise that directly applies to and mirrors many of the information evaluation and decision-making processes involved in community policing leadership. The simulator exercise allows participants to consider the leadership approach they would take prior to and during a Little Big Horn outbreak in the safety of a virtual (simulator) environment.



## Wrap-Up

At the conclusion of this module participants were able to:

- Apply competencies and components of situational leadership development as it applies to a leader's duties and responsibilities in the community policing mission
- Identify the situational qualities of leadership



## Test Your Knowledge

1. In the face of a crisis, a situational leader would:
  - a) Be adaptable and flexible\*
  - b) Not deviate from the established strategic plan
  - c) Consider policy as the ultimate determining factor
  - d) All of the above
2. A situational leader identifies and responds to the needs of their people.
  - a) True
  - b) False
3. A situational leader identifies and responds to the circumstances of the event.
  - a) True
  - b) False

## Module 4: Tribal Inspired Leadership Skills: Primal Leadership and Emotional Intelligence (EI)



### Overview

This module will stress the vital role that emotional intelligence (EI) plays in tribal inspired leadership. Specifically, participants will explore the value of EI competencies to primal leadership (self-awareness, self-management, social awareness, and relationship management) as executive level tools. These tools enable leaders to foster positive relationships in formal and informal groups, teams, and networks.

The module will incorporate a historic perspective on the development of leadership and its primal qualities. Instruction will include an overview of the human limbic system that governs aspects of EI development and utilization. This scientific basis for leadership will serve as cursory insight into the process of leadership and the skills that tend to empower individuals as leaders.

Finally, the lesson will articulate the value of primal leadership as a skeleton key. This key enables leaders to unlock their potential abilities to create organization wide “resonance” with regard to forming formal and informal networks to further the Tribal mission. In order to do so, this model will incorporate a simulator based leadership profile to serve as an example of primal leadership and its application to Tribal leadership. Utilizing the profile of Tecumseh during the turn of the Eighteenth Century in his efforts to preserve Native American culture and lands, the simulator will serve as a platform for the discussion of EI as a leadership tool. Special emphasis will be placed on the following EI properties as they relate to the profile:

- Building effective formal and informal networks and teams during crisis situations through the appreciation of others' EI qualities
- Projecting confidence and inspiring action through self awareness
- Framing preservation as a primal leadership tool

The image shows two slide thumbnails side-by-side. The left slide is titled 'Learning Objective' and contains the text: 'Leaders will be able to apply elements of emotional intelligence and primal leadership to their roles as homeland security leaders.' The right slide is titled 'Enabling Objectives:' and contains the text: 'Identify the key elements of Emotional Intelligence (EI). Learn to apply competencies and components of Emotional Intelligence (EI) in leadership roles. Identify Primal Leadership qualities. Define the concepts of Resonance and Management of Meaning.' Both slides have a small orange oval at the bottom right and are numbered 10 and 11 respectively.

**Learning Objective:** At the conclusion of this module leaders will be able to apply elements of emotional intelligence and primal leadership to their roles as tribal leaders.

**Enabling Objectives:** At the conclusion of this module, participants will be able to:

- Identify and apply the key elements of EI in effective communication
- Apply competencies and components of EI/EQ quotient in their leadership roles
- Identify the primal qualities of leadership
- Define the concepts of resonance and management of meaning
- Wrap-up

The image shows three slide thumbnails for 'Test Your Knowledge'. The first slide asks: 'Which of the following are key elements of emotional intelligence?' with options A, B, C, D, and E. The second slide asks: 'Primal leadership is best described as:' with options A, B, C, D, and E. The third slide asks: 'Creating harmony in the workplace environment is best described as:' with options A, B, C, D, and E. All three slides have a small orange oval at the bottom right and are numbered 12, 13, and 14 respectively.

### Test Your Knowledge

1. Which of the following are key elements of emotional intelligence?
  - a) Self-awareness
  - b) Self-management
  - c) Social-awareness
  - d) Relationship management
  - e) All of the above

2. Primal leadership is best described as:

- a) Impacting employees by setting the emotional tone of the workplace
- b) Not letting emotions play a significant role in the workplace
- c) Keep your “game face” in times of crisis
- d) B & C
- e) All of the above

3. Creating harmony in the workplace environment is \_\_\_\_\_.

- a) Dissonance
- b) Resonance
- c) Continuance
- d) Potentially counterproductive.

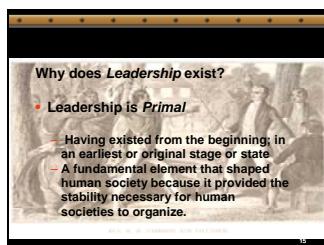
## Tribal Challenge

The emphasis of this challenge video is the declining cultural values that can grip and marginalize the effectiveness of individuals and organizations responding to critical tribal issues.

### Question topics:

- **What are the fundamental issues in a leader’s challenge in preserving Native American culture?**
- **What issues will you have to focus on as leaders?**
- **What are some steps you may take to overcome preserving Native American culture?**

## Background/Supportive Data

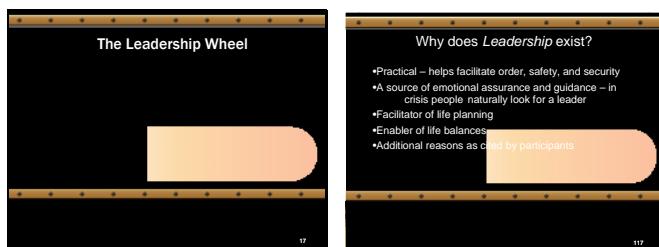


**Discussion questions:**

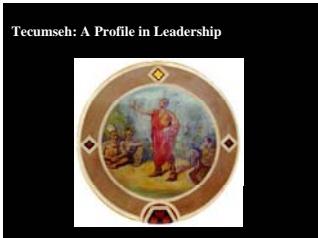
- **Why do we, as people, need leadership?**
- **Why do you think we have leaders?**
- **Do you think leadership and the existence of leaders within human societies is natural or forced upon individuals?**

Leadership is a primal (Princeton University Wordnet definition: having existed from the beginning; in an earliest or original stage or state) need for human societal development. It provides the following:

- Stability
- Emotional assurance
- Guidance and order
- Enables specialization of individuals in society and the accumulation of wealth

**Why leadership exists:**

- Practical – helps facilitate order, safety, and security
- A source of emotional assurance and guidance – in crisis people naturally look for a leader
- Facilitator of life planning
- Enabler of life balances
- Additional reasons as cited by participants



## Tecumseh Historic Profile

Tecumseh (circa March, 1768 – October 5, 1813), also known as Tecumtha or Tekamthi, (Shooting Star or Blazing Comet) was a Native American leader of the Kispoko Band of the Shawnee Tribe (the Shawnee Tribe consisted of five bands: the Chillicothe, Hathawekela, Kispoko, Mekoche, and Pekowi) and a large tribal confederacy that opposed the United States during Tecumseh's War and the War of 1812. He was born and grew up in the Ohio country prior to the American Revolutionary War and the Northwest Indian War where from birth he was constantly exposed to warfare.

Throughout his life Tecumseh faced the western expansion of the white man into Indian Country. First it was the Englishman and his thirst for land and then later it was the Americans who were ever more land hungry than the British. Tecumseh recognized early in his life, that the westward movement of the white man was a growing threat to not only the Shawnee culture but to all Native American cultures. Tecumseh was known as a brave, skillful warrior, well humored, optimistic, generous, and big hearted Chief (Sugden, p. 327). Tecumseh, based on his life experience during his youth, embraced the pan-Indian<sup>3</sup> philosophy. He maintained that the only way to stem the tide of white settlers moving into Indian Country was for all Native American tribes to join together to stop the whites western expansion. This influx of whites was seen by Tecumseh as contributing to the destruction of Native American culture and the occupation of their lands. To this end, Tecumseh devoted his life's work to bringing all Native Americans together to repel the western expansion of the white settlers. John Sugden notes,

Tecumseh, nevertheless, stands out. Not for the originality of his purpose and principles, but for the sheer breadth of his vision and the energy, determination, courage, and ability he put at its service. His was a task of staggering difficulty. Divided by language, culture, and intertribal enmities and jealousies, the Indians were also politically decentralized. (p. 9)

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<sup>3</sup> Leahy and Wilson Pan-Indian define “Native American movements in which individual tribes came together in an effort to combat political, economic, and social threats to their tribal sovereignty and existence are referred to Pan-Indianism. (Leahy and Wilson, p.127).

Tecumseh put forth his pan-Indian efforts for over twenty years starting in 1783 inspired by the Iroquois leader Joseph Brandt. At the same time, his younger brother, Tenskwatawa (also known as the Prophet), was a religious leader and prophet who advocated a return to the ancestral lifestyle of the tribes. Tenskwatawa developed a large following and a confederacy of Tribal groups grew around his teachings. Tenskwatawa's religious doctrine, which Tecumseh whole-heartedly embraced, is described as

The Prophet was not a likeable man, but he was the voice of an oppressed people. Around him the tribes were losing almost everything --- their lands, security, livelihoods, cultures, dignity and self-respect, even their very identities. Their villages were disintegrating, divided by factionalism, drunkenness, violence, and the erosion of communal values. The Prophet told them to be proud of their Indian heritages, proud and free, to unshackle themselves from the European economies by standing apart from the whites and rediscovering the reliance of the past and the richness of their own ways of life. (Sugden, P. 126).

This led to strife with settlers on the frontier, causing Tecumseh's band to move farther into the northwest and settle Prophetstown, Indiana in 1808. The motivation of Tecumseh and Tenskwatawa in their efforts was inspired, in part, by their allies --- the Wyandots, Delawares, Ottawas, and Ojibwas when they ceded large tracts of Shawnee homeland to the Americans at Fort McIntosh in 1784. Fifteen years later, in September 1809, William Henry Harrison, governor of the newly formed Indiana Territory, negotiated the Treaty of Fort Wayne in which a delegation of Indians ceded three million acres of Native American lands to the United States. The treaty negotiations were questionable as they were unauthorized by the President James Madison and involved what some historians compared to bribery, offering large subsidies to the tribes and their chiefs, and the liberal distribution of liquor before the negotiations.

Tecumseh's opposition to the treaty marked his emergence as a prominent leader. In the Treaty of Fort Wayne, which was signed in 1809, a group of eastern tribes agreed to sell three million acres of land in the Indiana Territory. Tecumseh confronted Governor Harrison on this matter. Tecumseh maintained that the land was the common property of all the many different tribes of Indians occupying Indiana at the time. Land ownership, a cultural value of the white man, was not embraced by Native Americans. He went on to protest to Governor Harrison that the tribes that signed the treaty had no right to sell that land, and that the land was common to all Indian tribes. Tecumseh made it known to the governor that the Indians would fight if any more of their land was taken.

Although Tecumseh and his Shawnee band had no claim to the land sold, he was alarmed by the massive sale of commonly held lands to the whites. This included the Piankeshaw, Kickapoo, and Wea tribes, who were the primary inhabitants of the land. As a result Tecumseh revived an idea advocated in previous years by the Shawnee

leader Blue Jacket and the Mohawk leader Joseph Brant, which embraced that all Indian lands was owned by all in common. A belief commonly referred to as the land was "a dish with one spoon." (White, p. )

Not ready to confront the United States directly, Tecumseh's primary adversaries were initially the Tribal leaders of the Pottawatomie, Lenape, Eel Rivers tribes who had signed the treaty. An impressive orator, Tecumseh began to travel widely, urging warriors to abandon accommodationist chiefs and to join him in resistance of the treaty. Tecumseh insisted that the Fort Wayne treaty was illegal; he asked Harrison to nullify it, and warned that Americans should not attempt to settle on the lands sold in the treaty. Tecumseh is quoted as saying, "No tribe has the right to sell [land], even to each other, much less to strangers.... Sell a country!? Why not sell the air, the great sea, as well as the earth? Didn't the Great Spirit make them all for the use of his children?" And, "...the only way to stop this evil [loss of land] is for the red man to unite in claiming a common and equal right in the land, as it was first, and should be now, for it was never divided."

In August 1810, Tecumseh led four hundred armed warriors from Prophetstown (Tecumseh encampment) to confront Harrison at his Vincennes home, Grouseland. Tecumseh and his warriors struck terror the townspeople, and the situation quickly became dangerous when Harrison rejected Tecumseh's demand for common ownership of Tribal lands and argued that individual tribes could have relations with the United States, and that Tecumseh's interference was unwelcome by the tribes of the area. Tecumseh, a great orator, presented an impassioned rebuttal against Harrison.

(Governor William Harrison), you have the liberty to return to your own country ... you wish to prevent the Indians from doing as we wish them, to unite and let them consider their lands as common property of the whole ... You never see an Indian endeavor to make the white people do this ...

Tecumseh called on his warriors to kill Harrison, who responded by pulling his sword and the small garrison defending the town quickly moved to protect Harrison. Potawatomie Chief Winnemac interceded and spoke to the warriors urging the warriors to leave in peace. As they left, Tecumseh informed Harrison that unless he rescinded the treaty, he would seek an alliance with the British.

Early the next year, a comet appeared (March 1811) across the sky. Tecumseh, whose name meant "shooting star", he and his followers and allies took it as an omen of good luck. Later he met with the Creeks and told them that the comet signaled his coming. Tecumseh claimed he would prove that the Great Spirit had sent him to the Creeks by giving the tribes a "sign."

Later that year Tecumseh again met with Harrison at his home following the murder of settlers on the frontier. Tecumseh told Harrison that the Shawnee and their Native American brothers wanted to remain at peace with the United States but their differences had to be resolved. The meeting convinced Harrison that hostilities were imminent. Following the meeting Tecumseh traveled south, on a mission to recruit allies among the Five Civilized Tribes. Most of the leaders of the Civilized Tribes rejected his appeals, but a faction among the Creeks, who came to be known as the Red Sticks, answered his call to arms, resulting in the Creek War.

While Tecumseh was recruiting members of the Five Civilized Tribes to his movement, Governor Harrison marched up the Wabash River from Vincennes with more than 1,000 men, Harrison's intent was to conduct a preemptive expedition to intimidate Tecumseh's brother, Tenskwatawa or the Prophet, and his followers and to force them to make peace. On November 6, 1811, Harrison's army arrived outside Prophetstown. The Prophet sent a messenger to meet with Harrison and requested a meeting be held the next day to discuss issues. Harrison agreed to the meeting and set up camped on a nearby hill. Early the next morning, Tenskwatawa and the Shawnee warriors launched a sneak attack on Harrison's camp. Known as the Battle of Tippecanoe, Harrison's men held their ground, and the Shawnee withdrew from Prophetstown after the battle. The victorious Americans burned the town and returned to Vincennes.

On December 11, 1811, the New Madrid Earthquake shook the South and the Midwest. While the interpretation of this event varied from tribe to tribe, one consensus was universally accepted: the powerful earthquake had to have meant something. For the at least the Muscogee Tribe it was a sign to support Tecumseh's movement. For many other tribes it meant that Tecumseh and the Prophet must be supported.

The Battle of Tippecanoe was a severe blow for Tenskwatawa, who lost both prestige and the confidence of Tecumseh. Although it was a significant setback, Tecumseh began to secretly rebuild his alliance upon his return. The War of 1812 broke out shortly afterwards and Tecumseh's efforts soon became embroiled as part of the war between Britain and the United States.

Tecumseh rallied his confederacy and led his forces to join the British army invading the northwest from Canada. Tecumseh joined British Major-General Sir Isaac Brock in the siege of Detroit, and forced its surrender in August 1812. As Brock advanced to a point just out of range of Detroit's guns, Tecumseh had his approximately four hundred warriors parade from nearby woods and circle around to repeat the maneuver, making it appear that there were many more than was actually the case. The fort commander, Brigadier General William Hull, surrendered in fear of a massacre should he refuse. The victory was of a great strategic value to the invaders.

The following year, Commodore Oliver Perry earned a great victory over the British Navy gaining control of Lake Erie and causing the British to withdraw from Fort Detroit. In the process, the British burned all public buildings in Detroit and retreated into Upper Canada along the Thames Valley. Tecumseh and his men followed fighting as rear guards actions to slow the US advance.

In command was Major-General Henry Procter, Sir Isaac Brock's replacement, who did not have the same working relationship with Tecumseh as Sir Brock and the two disagreed over tactics. Procter favored withdrawing into Canada and avoiding battle while the Americans suffered from the winter. Tecumseh was more eager to launch a decisive action to defeat the American army which would allow his people to reclaim their lands in the Northwest. Procter failed to appear at Chatham, Ontario, though he had promised Tecumseh that he would make a stand against the Americans there. Tecumseh moved his men to meet Proctor and told him that he would not go any farther into Canada. He also stated if the British wanted his continued help then they needed to face the Americans at Detroit. In the meantime, Harrison and his army crossed into Upper Canada and on October 5, 1813, won a decisive victory over the British and Native Americans at the Battle of the Thames near Moraviantown. Tecumseh was killed, and shortly after the battle, the tribes of his confederacy surrendered to Harrison at Detroit.

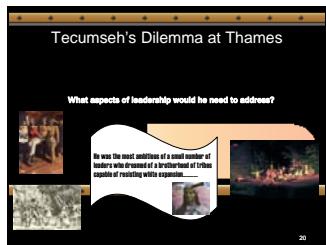
Tecumseh challenged himself with unifying the Eastern tribes in a pan-Tribal effort to remove Americans from the Northwest. Each of the Eastern tribes had their own priorities and interests which made Tecumseh's efforts even more challenging. To the end, Tecumseh made a historic effort to bring the tribes together in a pan-Tribal union and return to historical Tribal cultural values and eliminate the temptations of the Americans. With his death at the Battle of Thames Valley the effort to unify all Tribes ended and the Americans continued their western expansion, but not unabated, at the expense of the Native American Tribes.<sup>4</sup>

**Application to Tribal Inspired Leadership:** The scenario that is explored in the Tecumseh profile is a historical example of a primal leader who gave his life fighting for his passion --- uniting all tribal peoples in a common cause. Although the tactical, political, and even military issues are discussed in this segment, the focus of the Tecumseh profile is the importance of effective leadership and communication when dealing with a significant threat from first the British and then, later the Americans and the destruction of the Shawnee, and all Native American, way of life. Regardless of the specific nature of the threat, the principles of the Tecumseh example hold true:

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<sup>4</sup> The Tecumseh narrative is a compilation derived from various authors and on-line encyclopedias including, but not limited to, Columbia Encyclopedia, Britannica Concise Encyclopedia, and university websites. Also, this narrative is for model leadership purposes only.

- Declining cultural values that can grip tribes and entire Native American populations in the wake of a threat to their traditional homelands and way of life.
- Leadership is a fundamental countermeasure to declining cultural values that may precede a decline in traditional Native American customs and beliefs.



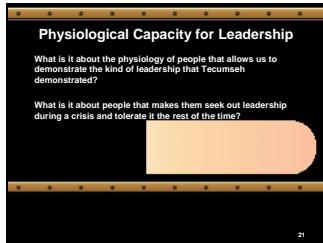
**What “primal” elements of leadership do you think Native American people most needed following Tecumseh’s vision?**

**Discussion Questions:**

- **What do you think it was about Tecumseh that made him capable of taking on such a large task? Why did anyone listen to him?**
- **What is it about modern day Tribal leaders that makes them seek out the types of positions that may require difficult leadership decisions? Why are you in the field you chose?**
- **Why are you in a leadership position? Why do any of your followers listen to you?**

**Application to Tribal Initiated Leadership:** Although the specific circumstances may be different, Tecumseh’s situation has significant relevance to the threat Native American cultural decline. Like the Battle of the Thames, the prospect of declining cultural values that can grip and marginalize the effectiveness of individuals and organizations; if left unchecked, declining cultural values can lead to organizational and community wide inaction (paralysis) at the exact time when community action and cooperation are most needed.

## The Physiological Capacity for Leadership: The Limbic System



Now that we know that leadership is a primal need for people and societies, let's examine the part of the human brain that is a receptor for primal leadership – the limbic system.

- We know why we have leadership – the question we can now address is how it works. What is it about the physiology of people that allows us to lead and be led in a uniquely human way?

This block contains two screenshots of a presentation slide. The left screenshot (slide 22) has a yellow sidebar on the left containing text: 'Structures and Functions: Includes the Amygdala, Olfactory Cortex, Hippocampus & Hypothalamus; Fight or Flight; Agree vs. Disagreeable Emotions & Feelings; Connection to Leadership: Impacts mood; Impacts motivation; Helps define personal identity; It is an Open Loop System that relies in large part on external stimuli and influence'. To the right is a diagram of the brain highlighting the limbic system. The right screenshot (slide 23) has a black sidebar with text: 'The limbic system refined two powerful tools: learning and memory. These revolutionary advances allowed an animal to be much smarter in its choices for survival, and to fine-tune its response to adapt to changing demands rather than having inflexible and automatic reactions.' Below the sidebar is a large orange button.

### Overview of the Limbic System

The limbic system is the part of the human brain that is involved in emotion, motivation, and emotional association with memory. It influences the formation of memory by integrating emotional states with stored memories of physical sensations. The term *limbic* comes from Latin *limbus*, meaning "border" or "edge". The limbic system developed to manage 'fight' or 'flight' chemicals and is an evolutionary necessity for reptiles as well as mammals. Although the system continues to evolve in humans, this system commands certain behaviors that are necessary for the survival of all mammals and reptiles. It gives rise and modulates specific functions that allow the animal to distinguish between the agreeable and the disagreeable. Emotions and feelings, like wrath, fright, passion, love, hate, joy, and sadness, are mammalian inventions, originated in the limbic system. This system is also responsible for some aspects of personal identity and for important functions related to memory. The limbic system operates by influencing the endocrine system and the autonomic nervous system.

There is circumstantial evidence that the limbic system also provides a custodial function for the maintenance of a healthy conscious state of mind.

Unlike the body's circulatory system – which is a closed, and self-regulating system (other people's circulatory systems do not directly impact that of others) the limbic system is open. That means that it is at least partially regulated or impacted by outside sources. For example, how we feel and how we learn can be impacted by other people – a loved one, a teacher, etc. The open loop of the limbic system creates a constant intermingling of people's emotions as each of us influences the other. Although this influence certainly varies depending on situation, environmental conditions, relationship, time, and a limitless number of other variables, leaders tend to have a consistently significant impact (influence) on the limbic system of others.

The limbic system includes many structures in the cerebral cortex and sub-cortex of the brain including:

- Amygdala: Involved in signaling the cortex of motivationally significant stimuli such as those related to reward and fear
- Hippocampus: Required for the formation of long-term memories
- Parahippocampal gyrus: Plays a role in the formation of spatial memory and is part of the hippocampus
- Cingulate gyrus: Autonomic functions regulating heart rate, blood pressure and cognitive and attentional processing
- Fornicate gyrus: Region encompassing the cingulate, hippocampus, and parahippocampal gyrus
- Hypothalamus: Regulates the autonomic nervous system via hormone production and release. Affects and regulates blood pressure, heart rate, hunger, thirst, sexual arousal, and the sleep/wake cycle
- Mammillary body: Important for the formation of memory
- Nucleus accumbens: Involved in reward, pleasure, and addiction
- Orbitofrontal cortex: Required for decision-making
- Thalamus: The "relay station" to the cerebral cortex
- Olfactory Bulb: Olfactory sensory input

**Application to Tribal Inspired Leadership:** Although the discussion of the human limbic system is primarily background information that facilitates further discussions in this module, it does have application to tribal inspired leadership. Specifically, the realization that the limbic system is an open-loop system that is constantly emitting and receiving external stimuli is a valuable realization for tribal professionals. Since these individuals may often find themselves in highly charged and volatile situations, the awareness of the continuous impact of limbic interactions may be useful in preparing for crucial interactions and effective communications during crisis situations.

## Influence, Communication, and Emotional Intelligence: The Essence of Primal Leadership

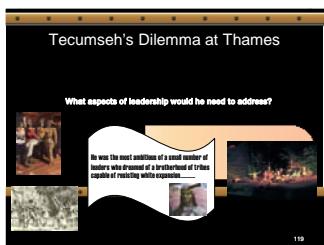


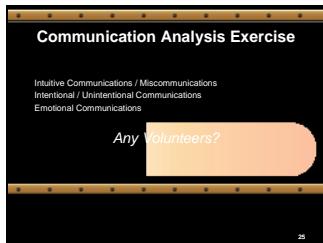
### Influence and Communication

#### Discussion Questions:

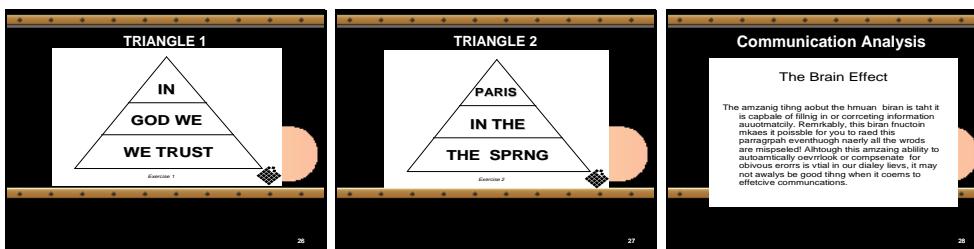
- When a controversial, sensitive or other important issue was brought up, who did everyone look at? Who instantly became the center of attention?
- Why do you think everyone looks at the “boss” or leader when a sensitive or important issue is brought up?
- When people look at a leader or the “boss” what exactly do you think they are looking for?
- What are some examples of communication that will impact the employee’s limbic system?

**Application to Tribal Inspired Leadership:** This exercise and facilitated discussion further builds on the power of the limbic system in voluntary and involuntary communications. The use of a staff meeting setting is one that is likely to be familiar to tribal leaders and decision makers and may help them become aware of physiological interactions that may occur.



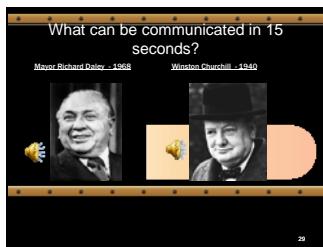


## Communication Analysis and Limbic Influence Exercise



### Discussion questions:

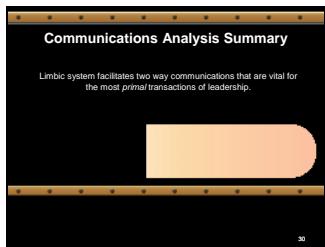
- Why does this matter to your roles as tribal leaders?
- Can you imagine any situation where people's ability to compensate or automatically fill in missing information would be a good thing? Bad thing?
- Are intuitive communications good during a crisis such as preserving Native American culture?



### Discussion questions:

- What was the intended message in the context of their crisis situation?
- What was the actual message that was delivered?
- Did the message sound genuine?

- **Do you believe it was an effective communication? Why?**
- **What role, if any, did the limbic system have in the communication?**
- **Was there an effort to manage meaning? Was it successful?**



The limbic system facilitates communications (both verbal and non-verbal) that cater to the primal qualities of leadership. People will naturally identify and look to individuals in leadership positions for guidance, assurance, and a sense of stability that will enable them to function in a specialized capacity (doing their job/function). Since the limbic system is the receptor for these communications, these feelings (guidance, assurance, and stability) have significant emotional components. Furthermore, these communications are continuous and often occurring without the sender's or receiver's comprehension. In the same way that our conscious minds compensate for obvious mistakes (reference triangle exercises) and equip us with the ability to perceive information (reference communication analysis exercise), they constantly receive, send and process information, including emotional information, that we are not readily aware of or often able to control. It is easy to see how this physiological process could significantly influence the forming groups, networks, and partnerships (formal and informal), not to mention impact the daily workplace interactions.

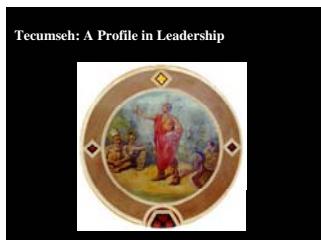
What lesson(s), if any, do these exercises (the triangles, paragraph, and communication analysis of Churchill and Daley) hold for leaders? Do the lesson(s) have any worth or application in the following specific situations:

- A leader's daily interaction with co-workers/subordinates/superiors
- A leader's interaction with outside agencies/organizations/groups—particularly when forming informal networks or working groups
- A leader's role in dealing with critical incidents such as a pan flu outbreak

**Application to Tribal Inspired Leadership:** The ability to “manage meaning” is an absolutely critical concept for tribal leaders facing critical incidents such as preserving Native American culture. The exercises in this section of the module illustrate the human brain’s amazing ability to interpret, auto-correct, and seek out and/or

disseminate communications. Ultimately, the applicable lesson for tribal leaders is that they must be aware of the open-loop nature of the limbic system and consciously develop the communications skills that are vital to their positions. There are few other leadership positions in which “managing meaning” for people can have such high stakes and consequences.

## Primal Leadership and Emotional Intelligence



### Discussion questions:

- **What were the benefits of the way that Tecumseh handled himself at Thames as well as with his efforts generally?**
- **What do you believe would have happened if Tecumseh would have survived the Battle of Thames and continued his efforts to unite all Native American tribes?**

### Tecumseh Historic Outcome - Battle of the Thames

In command was Major-General Henry Procter, Sir Isaac Brock's replacement, who did not have the same working relationship with Tecumseh as Sir Brock and the two disagreed over tactics. Procter favored withdrawing into Canada and avoid a battle with the Americans. Tecumseh was more eager to launch a decisive action to defeat the American army which would allow his people to reclaim their lands in the Northwest. Procter failed to appear at Chatham, Ontario, though he had promised Tecumseh that he would make a stand against the Americans there. Tecumseh moved his men to meet Proctor and told him that he would not go any farther into Canada. He also stated if the British wanted his continued help then they needed to face the Americans at Detroit. In the meantime, Harrison and his army crossed into Upper Canada and on October 5, 1813. Tecumseh and his confederacy (Shawnees, Creeks, Kickapoos, Ottawas, Ojibwas (Chippewas), Potawatomis, Miamis, Winnebagos) allied with the British in Canada to face the Americans. The ensuing battle, known as the Battle of the Thames resulted in Tecumseh's death, being killed in battle fighting for his vision of a restored Native American territory. As Sugden wrote,

"Tecumseh had helped save Canada, but one thing is certain. The Shawnee chief didn't really care a spent pistol ball for the King and his colonies. It was the plight of the Indian peoples, and his own ambition, that drove him forward, and the British, those shifty, untrustworthy beings who so often failed their native allies, were tools to be used.... (Sugden, page 310)"

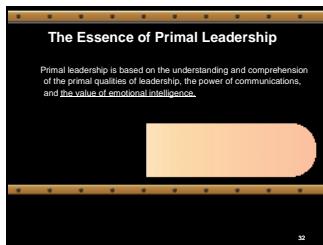
Tecumseh has subsequently become a folk legend. He is remembered as a hero by many Canadians for his defense of the country.

As John Sugden notes, "Today, American Indian peoples recognize him [Tecumseh] as the most ambitious of a small number of leaders who dreamed of a brotherhood of tribes capable of resisting white expansion, and who tried to replace intertribal indifference and conflict with unity and common purpose."

**Application to Tribal Inspired Leadership:** Although the specific circumstances may be different, Tecumseh's situation has significant relevance to the threat of declining cultural values. Like Tecumseh's challenge, the prospect of preventing a Tribal event may be impacted by declining cultural values. If left unchecked, declining cultural values can lead to organizational and community wide inaction (paralysis) at the exact time when community action and cooperation is most needed.

A comprehensive understanding and appreciation for the fact that emotions - as transmitted and received by people-directly impact individual and organizational performance. The concept of primal leadership is also a summary of the specific emotional components or competencies that enable a leader to control emotions and the communication of emotions, in order to maximize performance and create a positive environment in which people have the opportunity to succeed.

**Application to Tribal Inspired Leadership:** The essence of the primal leadership approach provides tribal leaders and decision makers with a solid foundation for the complete exploration of EI and its usefulness in leading people and organizations. Of great value is the primal leadership's focus on emotions. Tribal leaders have and will continue to operate in emotionally charged environments and circumstances. Therefore learning to recognize, appreciate the value of, and proactively use emotional intelligences (as described in primal leadership) will likely prove to be an invaluable and practical tool for tribal leaders and decision makers.



## The Essence of Primal Leadership

### Primal leadership is based on:

- **The emotional task of a leader is primal**

The emotional task is both the original and the most important act of leadership (ancient tribal chieftains, early leaders, were chosen because they provided assurance and clarity in facing/dealing with threats - served as emotional guides). In any human group—the leader has the “maximal” power to sway the emotions of the entire group to manage meaning.

- **Leaders directly impact employees performance by setting the emotional tone of a workplace**

The subconscious/emotional communications that leaders (formal & informal) send significantly impact individual employee and organizational performance. Something as seemingly innocuous as the leader being in a bad mood has an organizational consequence. According to researchers Goleman, Boyatzis and McKee an actual mathematical logarithms exists and is used in business: “For every 1% improvement in the service climate, there is a 2% increase in revenue” (2002, p.15).

- **Great leadership works through emotion**

“Understanding the powerful role of emotions in the workplace sets the best leaders apart from the rest – not just in tangibles such as better business results and retention of talent, but also in the all-important intangibles, such as higher morale, motivation, and commitment.” (Goleman, Boyatzis & McKee, 2002, p. 5)

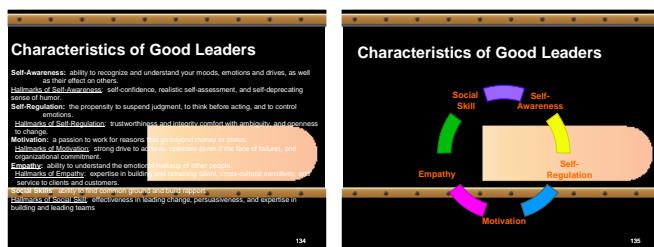
- **There are distinct components to a person**

Intelligence (IQ), personality, and emotional intelligence (EI or EQ) are distinct qualities that we all possess. Together they determine how we think and act, it is impossible to predict one based upon the other. People may be intelligent but not emotionally intelligent, and people of all types of personalities can be high in EQ and/or IQ. Of the three, EI is the only one that is flexible and able to change (Bradberry & Greaves, 2005, p. 26). The value of EI can not be overstated in terms of professional excellence. According to Bradbury and Greaves (2005, p. 52), EI was tested along with “thirty three other important workplace behaviors and found that it subsumes the majority of them, including time management, motivation, vision, and communication. You can use your EI to boost your job performance in a variety of ways. It’s so critical to success that it accounts for 60 percent of performance in all types of jobs. It is the single biggest predictor of performance in the workplace and the strongest driver of leadership and personal excellence.”

In their research Bradberry and Greaves (2005, p. 53) found that 90 percent of individuals characterized as high performers also had high EI. In contrast only 20 percent of those characterized as low performers were associated with high EI.

- **There exists a set of core emotional competencies that are the essence of primal leadership.**

As a whole these competencies are the components of EI/EQ. They are changeable and can be mastered. Once mastered, they are a powerful tool of effective leadership. The following is a list of the EI/EQ competencies and a brief summary of leader characteristics associated with each.



## Leadership Characteristics

- What characteristics should good leaders have?

### The E.Q. Test

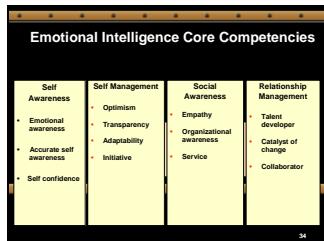
1. Do you understand both your strengths and your weaknesses?
2. Can you be depended on to take care of every detail?
3. Are you comfortable with change and open to novel ideas?
4. Are you motivated by the satisfaction of meeting your own standards of excellence?
5. Do you stay optimistic when things go wrong?
6. Can you see things from another person's point of view and sense what matters most to him or her?
7. Do you let others' needs determine how you serve them?
8. Do you enjoy helping colleagues develop their skills?
9. Can you read office politics accurately?
10. Are you able to find "win-win" solutions in negotiations and conflicts?
11. Are you the kind of person other people want on their team?
12. Are you usually persuasive?

If you answered "yes" to six or more of these questions **and if people who know you well would agree with you**, and then you have a high degree of emotional intelligence. (Akers & Porter, 2003)

### Characteristics of Good Leaders (EQ skills)

- **Self-Awareness:** ability to recognize and understand your moods, emotions and drives, as well as their effect on others.
  - Hallmarks of Self-Awareness: self-confidence, realistic self-assessment, and self-deprecating sense of humor.
- **Self-Regulation:** the propensity to suspend judgment, to think before acting, and to control emotions.
  - Hallmarks of Self-Regulation: trustworthiness and integrity, comfort with ambiguity, and openness to change.

- **Motivation:** a passion to work for reasons that go beyond money or status.
  - Hallmarks of Motivation: strong drive to achieve, optimism (even if the face of failure), and organizational commitment.
- **Empathy:** ability to understand the emotional makeup of other people.
  - Hallmarks of Empathy: expertise in building and retraining talent, cross-cultural sensitivity, and service to clients and customers.
- **Social Skill:** ability to find common ground and build rapport.
  - Hallmarks of Social Skill: effectiveness in leading change, persuasiveness, and expertise in building and leading teams



## Emotional Intelligence Core Competencies

### SELF-AWARENESS

#### Emotional Self-Awareness

- Attuned, recognizing how feelings, mood, disposition affect job performance
- Seeing big picture in complex situations
- Candid, authentic ability to speak about emotional component or conviction about their mission

#### Accurate Self-Awareness

- Know their strengths and limitations
- Exhibit sense of humor about themselves
- Gracefulness in learning

#### Self-confidence

Knowing abilities (strengths/limitations) allows them to play to their own abilities

## **SELF-MANAGEMENT**

### **Self-control**

- Clear-headed and collected under stressful situations
- Capable of channeling negative impulses and emotions

### **Transparency**

- “Leaders who live transparent lives live their values”
- Openly admits own mistakes and faults, confront unethical behaviors in others

### **Adaptability**

- Can juggle multiple demands
- Comfortable with “inevitable vagueness of organizational life”
- Limber thinkers that handle change well

### **Achievement**

- High personal standards that drive achievement
- Pragmatic—setting reasonable but challenging goals
- “A hallmark of achievement is continually learning and teaching”

### **Initiative**

- Have a sense of efficacy (the ability to produce the desired result)
- Seize opportunities or create them
- Do not hesitate to “cut red tape”

### **Optimism**

- Sees opportunity rather threat in setbacks
- Sees others positively whenever prudent and expects and often elicits the best out of them

## **SOCIAL AWARENESS**

### **Empathy**

Able to attune to a wide variety of people and their situations/perspectives

**Organizational awareness**

- Politically astute
- Able to detect crucial social networks/relationships
- Understand political forces at work in an organization, as well as the guiding values and unspoken rules that operate people there

**Service**

Fosters emotional climate that keeps organization directly in touch with the customer/client/constituent

**RELATIONSHIP MANAGEMENT****Inspiration**

- Move people with compelling vision/shared mission
- Embodies what they ask of others

**Influence**

- Knowing how to build buy-in
- Articulate a common mission

**Developing Others**

- Adept at cultivating employees
- Have genuine interest
- Natural mentors/coaches

**Change Catalyst**

- Recognize need for change
- Strong advocates for change when necessary
- Find practical ways to overcome barriers

**Conflict Management**

- Are able to draw out all parties involved in a conflict
- Understand differing perspectives
- Look for common ideal that all can endorse
- Redirect energy toward shared ideal

## Teamwork and Collaboration

- Able team players
- Generate friendly atmosphere build spirit and identity
- Forge close relationships beyond mere work obligations

**Application to Tribal Inspired Leadership:** The concept of emotional intelligence, whether as part of the primal leadership approach or as a stand alone body of knowledge, is vital to tribal leaders. As noted before, tribal leaders have and will continue to operate in emotionally charged environments and circumstances. Therefore learning to recognize, appreciate the value of, and proactively use emotional intelligences (as described in primal leadership) will likely prove to be a practical tool for tribal leaders and decision makers.

## The Primal Leadership and Tribal Inspired Leadership Skills



### Practicing Primal Leadership

Emotional Intelligence, unlike IQ and certain personality characteristics can in fact change and frequently fluctuate depending on life events and circumstances. With some effort, individuals can manipulate their emotional intelligence and improve their ability to use it as a means of pursuing professional excellence. This seems to be especially true of individuals in formal and informal leadership roles. Since they tend to have significant impact on others (Limbic System) by virtue of their position, emotional intelligence is a potential very powerful leadership tool.

Basic steps in improving emotional intelligence include simple but often challenging actions such as:

- Practicing self-management by continuously seeking insight into ones own feelings and emotions. A process that can be described as having an inner conversation in order to diagnose elements of emotional intelligence.

- Improving your understanding of emotional intelligence by working with other people to identify different or unique emotional perspectives on a single situation.
- Improving communication awareness – intentional and unintentional. Realizing that there is a constant stream of communication between people and practicing the controlling of unintentional messages that often are subconsciously sent.
- Dealing with conflict but avoiding quiet conflict. Although conflict is often minimized by improved communication, it can not be completely removed. Genuine conflict should not be avoided but dealt with appropriately. Quiet conflict, on the other hand, is characteristic of poor or no communications and tends to feed upon itself. Quiet conflict can be emotionally detrimental so voiding it is key to improving emotional intelligence.

**Application to Tribal Inspired Leadership:** The strategies for practicing primal leadership offer tribal leaders with a practical tool for improving their daily interactions with subordinates and other leaders in both formal and informal ways. Furthermore, the enhancement of emotional intelligences may serve to grow individual leadership capacities and abilities to handle crisis or critical incidents such as preserving Native American culture.



Primal leadership and the Tribal Mission discussion questions:

- **What aspects of primal leadership will help you in applying the tribal mission strategies in your organization? In your jurisdiction?**
- **Are there any aspects of the model that you do not believe will be applicable to the application of the tribal mission strategies of your organization? Of your jurisdiction?**

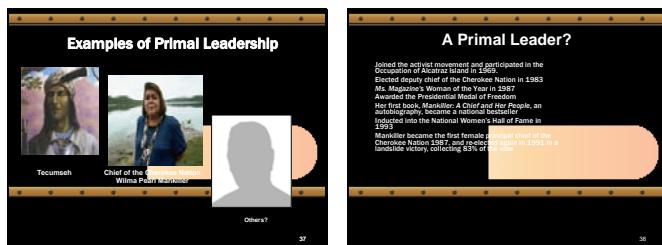
Primal leadership dividends:

- Facilitates positive communications, this may be extremely useful in forming the internal and external networks (formal and informal) that tribal professionals often rely on for accomplishing their missions.

- Provides tribal leaders with the wherewithal to manage meaning for their organizations and well as other stakeholders (the media, general public, formal/informal networks, etc.).
- Leadership that is based on sound emotional intelligence principles often serve to create *resonance* while simultaneously limiting *dissonance*. Resonance (generally used as a musical term) is a harmony or a sense of working together that are often present in effective organizations. Dissonance on the other hand refers to a lack of harmony and a pervasive sense of conflict that plagues unproductive or ineffective organizations.

### **Primal leadership and the Tribal Mission discussion questions:**

- **After having discussed primal leadership and its role in tribal inspired leadership, what do you think about Tecumseh?**
- **Was he truly a primal leader? Why?**



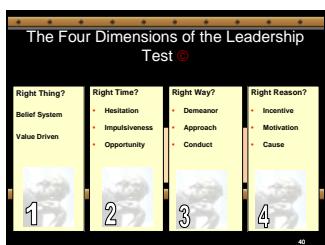
### **Wilma Mankiller**

- Joined the activist movement and participated in the Occupation of Alcatraz Island in 1969.
- Elected deputy chief of the Cherokee Nation in 1983.
- *Ms. Magazine's Woman of the Year* in 1987
- Awarded the Presidential Medal of Freedom
- Her first book, *Mankiller: A Chief and Her People*, an autobiography, became a national bestseller
- Inducted into the National Women's Hall of Fame in 1993
- Mankiller became the first female principal chief of the Cherokee Nation 1987, and re-elected again in 1991 in a landslide victory, collecting 83% of the vote
- **In your group's opinion is Wilma Mankiller a primal leader? Why or Why not?**
- **Name another example of a tribal leader that personifies primal leadership. What are the major reasons for your group's selection?**



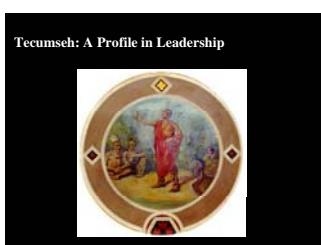
### Discussion questions:

- Are you surprised that Mankiller, an accomplished and seasoned activist and elected official, would show emotion?
- What was the effect that Mankiller's use of emotions had on the young citizens of her community?
- Based on what we just discussed, is Wilma Mankiller a primal leader? Why?
- Can a leader be considered both a situational as well as a primal leader?



**Application to Tribal Inspired Leadership:** The application of the Leadership Test © to actual modern day tribal leaders is an opportunity for participants to practice the process of applying the Leadership Test © to the complex issues of community leadership.

### Simulator Exercise/Simulator Demonstration/Group Response



- After reviewing the information available to you at this time, what leadership problem do you face?
  - For option #1 press A on your Qwizdom response unit.
  - For option #2 press B on your Qwizdom response unit.
  - For option #3 press C on your Qwizdom response unit.
- Based on what you know about the situation you will face and the information you have evaluated thus far, select an action or strategy that best captures the style of leadership that will be most useful in addressing the challenge you face. Remember the focus of your selection should be the leadership orientation (style) that is represented by the actions described in the simulator.
  - For option #1 press A on your Qwizdom response unit.
  - For option #2 press B on your Qwizdom response unit.
  - For option #3 press C on your Qwizdom response unit.

### Tecumseh Pay Off

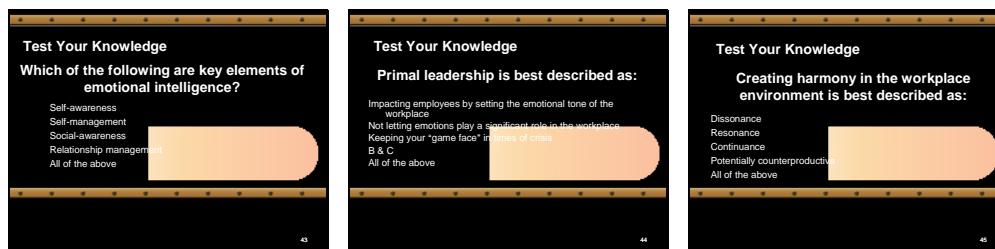
My country and my people faced the inevitability of war. It wasn't just coming. It was already happening all around us. As a leader, I considered it my responsibility to inspire my fellow tribes into action. I sought to convince my fellow tribes --- the Wyandot, Shawnee, Potawatomi, Sauk, Fox, Sioux, and Miami's that they were not powerless and they had the ability to defend themselves, their country, and their convictions. In their acquiescence and diffusion, the people needed this kind of leadership and direction. My decision to fight the Americans was intended to greatly inspire my allies to rise above their feelings of acquiescence and diffusion, paralyzing the ability of all Indians to stop the Americans. By the Battle of Thames, I recognized the British were not going to help and it was time for our people to make a stand. I counseled my brothers that with the British surrender the movement was hopeless. My brothers want to fight. I told them, "You are my friends, my people. I love you too well to see you sacrificed in an unequal contest from which no good can result. I would dissuade you from fighting this fight, encourage you to leave now, this night, for there is no victory ahead, only sorrow. Yet, time after time, even until tonight, you have made known to me that it is your desire to fight the Americans here and so I am willing to go with my people and be guided by their wishes." (Eckert, p.582) The next day Tecumseh gave his life for his people and his cause. He was the epitome of a primal leader.

The situation we faced was a war of a different kind, against a different enemy. It is none-the-less a formidable and perhaps inevitable conflict. As a leader you must create an environment in which people can succeed despite declining cultural values.

To do so, you need to resonate with your people. Address their declining cultural values by inspiring them and instilling confidence in their abilities to defeat the enemy and succeed.

Primal leadership is not an easy endeavor. It requires that a leader be introspective and aware of their emotions and limitations---you must be able to see in yourself what you can not hide from others. Through this acute self-knowledge, primal leaders develop a high emotional intelligence. They can use this emotional intelligence and directed communication to influence people and achieve desired outcomes. By using the primal leadership to address this type of challenge, you can identify and meet the needs of your people, inspire them to action, and achieve your goals. When you meet the emotional needs of your people during any situation with understanding, guidance, and your own emotional intelligence, primal leadership principles may assist you in doing the right thing, at the right time, in the right way, and for the right reasons.

**Application to Tribal Inspired Leadership:** The Tribal leadership vignette is designed to introduce the class participants to the real issue of declining cultural values that is a significant threat to operations of public and private sector agencies. The simulator challenge activity is a realistic exercise that directly applies to and mirrors many of the informational evaluations and decision-making processes involved in tribal inspired leadership. The simulator exercise allows participants to consider the leadership approach they would take prior to and during preserving Native American culture in the safety of a virtual (simulator) environment.

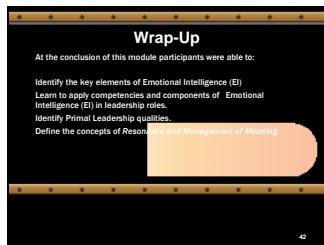


### Test Your Knowledge

1. Which of the following are key elements of emotional intelligence?

- a) Self-awareness
- b) Self -management
- c) Social -management
- d) Relationship management
- e) All of the above

2. Primal Leadership is best described as:
- Impacting employees by setting the emotional tone of the workplace
  - Not letting emotions play a significant role in the workplace
  - Keep your “game face” in times of crisis
  - B & C
  - All of the above
3. Creating harmony in the workplace environment is \_\_\_\_\_.
- Dissonance
  - Resonance
  - Continuance
  - Potentially counterproductive.



## Wrap-up

At the conclusion of this module participants were able to:

- Identify and apply the key elements of emotional intelligence and the stages and components of group development in building effective networks
- Apply competencies and components of emotional intelligence/emotional quotient in their leadership roles
- Identify the primal qualities of leadership
- Define the concepts of resonance and management of meaning

## MODULE 5: Comprehensive Application of Tribal Leadership Strategies: The Transformational Leader



### Overview

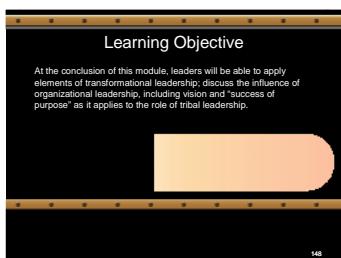
This module will encourage participants to examine the role of transformational leaders as a means of effectively applying tribal missions and strategies in addressing tribal challenges. In considering the role of transformational leaders, emphasis will be placed on the premise that under the correct conditions and utilizing the appropriate skills, leaders have the capacity to inspire and motivate people to achieve beyond their presumed limitations. That is, leaders who can develop a clear vision for their organizations can inspire their people to participate in accomplishing that vision. The lesson will draw parallels between this description and the effectiveness of tribal leaders and decision makers in inspiring their people to embrace the mission and vision of tribal communities.

Key procedural aspects of the model involve developing a strong set of skills in communications, fostering vision, and building organizational infrastructure as well as inspiring action. Additionally, the model requires leaders to be comfortable with change and seek it as a means of leading people and organizations. These aspects of transformational leadership will be stressed in the module as characteristics that often come into play when motivating and moving people towards a common goal or mission.

This module will include the consideration of Wilma Mankiller as an example of transformational leadership. Mankiller, the child of a Cherokee father, and white mother of Dutch-Irish ancestry, grew up in Tahlequah Oklahoma in a time where the United States government, through the Bureau of Indian Affairs, was again trying to settle the 'Indian problem' by removal. Despite these seemingly insurmountable obstacles, as well as a life filled with personal tragedy (divorce, accidental death of her friend, threats to her life, and personal illness), Mankiller provided countless examples of transformational leadership including one specific example of guiding a small Cherokee community through difficult times eventually turning it into a healthy vibrant community that continues to thrive and grow today. One of Wilma Mankiller's great

accomplishments was in becoming the first female principal chief of Cherokee Nation. Wilma became a nationally recognized leader that inspired followers to accomplish and perform many great things beyond their presumed limitations.

The example of Wilma Mankiller's as a transformational leader will be used to illustrate the power of leadership in motivating followers into performance. An overview of Mankiller's accomplishments and leadership tactics will be explored as a template for today's tribal leaders and decision makers who are often faced with seemingly insurmountable challenges and tasks. The transformational leadership lessons in this module will seek to emphasize that effective leadership can and often does overcome a multitude of challenges.



**Learning Objective:** At the conclusion of this module, leaders will be able to apply elements of transformational leadership; discuss the influence of organizational leadership, including vision and “success of purpose” as it applies to the role of tribal leadership.



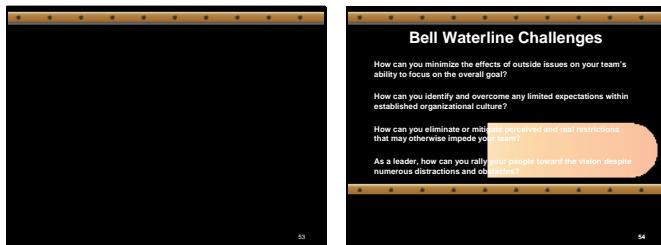
**Enabling Learning Objectives:** At the conclusion of this module, participants should be able to:

- Identify and apply key elements of transformational leadership
- Identify the role of influence in organizational leadership
- Identify the significance of vision in organizational achievement
- Understand the difference between being success driven and “success of purpose” driven



## Test Your Knowledge

1. Characteristics generally attributed to transformational leaders include (select the most appropriate):
  - a) A healthy ego
  - b) Unable to handle feedback or criticism well
  - c) Thrive on the notions of power or authority
  - d) None of the above
  - e) All of the above
2. Transformational leaders are motivated by success rather than being purpose driven.
  - a) True
  - b) False
3. The transformational leadership process moves through the following:
  - a) Leading the charge-Finding the way forward-Developing the vision-Selling the vision
  - b) Developing the vision-Leading the charge-Finding the way forward-Selling the vision
  - c) Developing the vision-Selling the vision-Leading the charge-Finding the way forward
  - d) Developing the vision-Selling the vision-Finding the way forward-Leading the charge



## "The Bell Waterline Video Challenge

After viewing the challenges consider the following questions:

- **How can you minimize the effects of outside issues on your team's ability to focus on the overall goal?**
- **How can you identify and overcome any limited expectations within established organizational culture?**
- **How can you eliminate or mitigate perceived and real restrictions that may otherwise impede the team?**
- **As a tribal leader, how can you rally your people toward the vision despite numerous distractions and obstacles?**

**Application to Tribal Leadership:** The Bell waterline vignette is designed to introduce the class participants to the real issues of external obstacles and organizational paralysis that are a significant threat to the operations of tribal agencies involved in community wellness.

## Transformational Leadership

**Cultural and Social Atmosphere of US toward Native Americans:**

\*1838 – Trail of Tears  
- 60,000 Cherokees were forced by the U.S. to remove themselves from their homelands, farms, and communities  
- At least 4,000 died

\*1942 – US Army declared 45 Cherokee families as "ineligible allotment lands"  
- Marlolis's family left  
- After the Indian Affairs' Indian Relocation Program

\*1952 – Cherokee town of Bell, OK were living in displaced homes with no running water or inside plumbing

**5.2 A Quintessential Transformational Leader**

<http://www.youtube.com/watch?v=xw4C96ydsd4vq>  
<http://www.youtube.com/watch?v=2u3y5S1Mmz8#t=featurerelated>  
<http://www.youtube.com/watch?v=jFDGJYVbbc0&t=featurerelated>

## Wilma Mankiller – Transformational Leadership Profile

The story and leadership challenges faced by Wilma Mankiller is chronicled below. Consider the cultural and social atmosphere of the United States towards the Native American people leading up to Mankiller's life.

- Tahlequah, Oklahoma serves as the Capitol of the Cherokee Nation. This location was the result of the devastating effects of the Trail of Tears. The Trail of Tears of the Cherokees took place over the winter months of 1838 through 1839. An estimated 16,000 Cherokees were forced by the U.S. to remove themselves and their families from their homes, farms and communities. After being held in federal stockades until deep winter, they were subsequently herded on overland and water routes that moved through territories that represent the present-day states of Tennessee, Kentucky, Illinois, Missouri and Arkansas. More than four thousand Cherokees died along the various routes from the harsh conditions of the crossing.
- Wilma Mankiller was born in Tahlequah, Oklahoma, the capital of the Cherokee Nation, on November 18, 1945. She was one of 11 children.
- Wilma Mankiller's great-grandfather was one of the more than sixteen thousand Native Americans and African slaves who were ordered by President Andrew Jackson (1767–1845) to walk from their former homes in the Southeast to new "Indian territory" in Oklahoma in the 1830s. The harsh weather, hunger, disease, and abuse from U.S. soldiers that the walkers experienced on what came to be called the Trail of Tears led to the deaths of at least four thousand of them.
- In 1942 the US Army declared 45 Cherokee families' allotment lands, near those of Mankiller's family, in order to expand Camp Gruber.
- Charley Mankiller thought he could make a better life for his family in California and accepted a government offer to relocate. However, promises that were made to the family were not kept, money did not arrive, and there was often no employment available, so their life did not improve after their arrival in San Francisco.
- In 1971 Mankiller's father died from a kidney disease in San Francisco. It was not long before she too had kidney problems, inherited from her father. Mankiller eventually had to have a transplant and her brother Donald became her "hero" donating one of his kidneys so that she could live.
- In 1976 Mankiller took a job as a community coordinator in the Cherokee tribal headquarters and enrolled in graduate courses at the University of Arkansas in Fayetteville.

- In 1979 Mankiller was involved in a head-on collision. Mankiller was seriously injured, and many thought she would not survive. The driver of the other automobile did not. It turned out to be Sherry Morris, Mankiller's best friend.
- In 1980 Mankiller came down with myasthenia gravis, a muscle disease. This disease threatened her life, but her will to live and her determination to heal her body with the power of her mind prevailed.
- In 1983 Ross Swimmer (1943–), then principal chief of the Cherokee Nation of Oklahoma, asked Mankiller to be his deputy chief in the election. While campaigning she was surprised by the criticism she received—not for her stand on any particular issue, but simply because she was a woman.
- In 1985 Mankiller was elected to serve as principal chief and served two terms before deciding not to run for re-election due to health related problems. (Two terms 1985-1995)
- Mankiller won several awards including *Ms. Magazine*'s Woman of the Year in 1987, Presidential Medal of Freedom, the Oklahoma Women's Hall of Fame, Woman of the Year, the Elizabeth Blackwell Award, John W. Gardner Leadership Award, Independent Sector, and was inducted into the National Women's Hall of Fame in 1993.
- On April 6<sup>th</sup>, 2010 Mankiller, former Principal Chief of the Cherokee passes away. President Obama states "I am deeply saddened to hear of the passing of Wilma Mankiller today. As the Cherokee Nation's first female chief, she transformed the Nation-to-Nation relationship between the Cherokee Nation and the Federal Government, and served as an inspiration to women in Indian Country and across America. A recipient of the Presidential Medal of Freedom, she was recognized for her vision and commitment to a brighter future for all Americans. Her legacy will continue to encourage and motivate all who carry on her work." (2010, President Barrack Obama).

In the midst of all the turmoil and social injustice that Wilma Mankiller, a Cherokee woman of mixed racial background, she overcame many tragedies to become a guiding power and voice for the Cherokee people of Oklahoma. Wilma was a symbol of achievement for women everywhere. Throughout her life, she kept a positive view of life not complaining about how bad things were for herself. Wilma worked hard to help make life better for the Cherokee people. Although she declined to seek another term as principal chief in 1995 for health reasons, she remained in the public eye, writing and giving lectures across the country.

## Wilma Mankiller Historical Profile

### Early life

Wilma Pearl Mankiller (Mankiller), born November 18, 1945, was the sixth of eleven children. Her parents were Charley Mankiller, full blood Cherokee (1914 – 1971), and Irene Sitton (1921–), who is of Dutch and Irish descent, but acculturated to Cherokee life. The Mankiller family lived on Wilma's grandfather's allotment lands (160 acres) of Mankiller Flats near Tahlequah, Oklahoma. Under the U.S. Federal Government's relocation program, the Mankillers left the Flats in 1956 and moved to San Francisco, California and later Daly City.

Mankiller graduated high school in 1963 and shortly thereafter married Hector Hugo Olaya de Bardi, an Ecuadorian college student. They moved to Oakland, California and had two daughters, Felicia, born in 1964, and Gina, born in 1966.

Mankiller started college in the late 1960's, first attending Skyline College then San Francisco State University. She became active with the American Indian Center while in San Francisco. Following a mysterious fire at the Center in 1969, relatives of Mankiller and herself joined hundreds of Native American activists on Alcatraz Island to help raise awareness of Native American injustices and rights. Mankiller became the acting director of the Native American youth Center and later volunteered for the Pit River Tribe in a legal battle with a power company. After divorcing Hugo in 1974, Mankiller moved back to Adair County, Oklahoma with her two young daughters in 1977. Upon returning to Oklahoma, Mankiller met Charlie Soap, the man who would become her husband in 1986.

### Political career

Mankiller's first job in Oklahoma was working for the Cherokee Nation in charge of getting native people trained at the university level. In 1981, Mankiller founded and was eventually named the first director of the Cherokee Nation Community Development Department. This position led Mankiller to rural communities helping them with important renewal projects including the Bell Waterline Project.

By 1983, Mankiller found herself in a heated campaign to serve as deputy chief of Cherokee Nation, along side Ross Swimmer. After beating her two opponents, Mankiller became the first woman deputy chief in Cherokee history. In 1985, Chief Swimmer accepted a position to head the Bureau of Indian Affairs, and on December 5, 1985, Mankiller was sworn in as the first female principle chief of Cherokee Nation. Mankiller was reelected for a second term in a landslide victory in 1991, receiving over 82% of the votes.

Mankiller faced challenges while serving Cherokee Nation. While running for deputy chief, Mankiller was inundated with negative backlash from the tribes' people. She received hate mail, death threats, and even had her tires slashed. With Cherokee Nation being predominantly male-dominated, people believed her heading such an office would be a mockery to the tribe and an affront to God. Such a structure contrasted with the traditional Cherokee culture and value system, which instead emphasized a balance between the two genders. Mankiller used humor as a way to deal with the backlash. For the next twelve years, Mankiller worked to bring back that balance and reinvigorate Cherokee Nation through community-development projects where men and women work collectively for the common good.

Throughout her tenure, Mankiller was instrumental in bringing monumental change to Cherokee Nation. In 1990, she signed an unprecedented agreement in which the Bureau of Indian Affairs surrendered direct control over millions of dollars in federal funding to the tribe her leadership, Mankiller led the tribe with several revitalization projects including building new free-standing health clinics, an \$11 million Job Corps Center, and greatly expanded services for children and youth. Examples of progress included the founding of the Cherokee Nation Community Development Department, the revival of Sequoyah High School in Tahlequah, and a population increase of Cherokee Nation citizens from 55,000 to 156,000.

Mankiller served two terms as principal chief of Cherokee Nation and was forced to retire from the position in 1995 due to health reasons. After leaving her position, Mankiller continued working for her people with community development projects, serving on several philanthropic boards, and providing lectures across the country on issues and challenges facing Native Americans.

### **Personal life**

Mankiller faced many different personal challenges over the course of her life including one event which nearly took her life. In 1979, Mankiller was involved in a near fatal car accident on the way to speak for Cherokee Nation. The other car involved was Mankiller's close friend who died from injuries sustained in the accident. Mankiller endured 17 operations after the accident and was told at one point she would never be able to walk again. Just one year later, Mankiller was diagnosed with myasthenia gravis, a form of muscular dystrophy that can lead to paralysis. Over the course of years Mankiller had additional health problems including a kidney transplant, breast cancer, and lymphoma. In March 2010, Cherokee Nation announced that Mankiller had been diagnosed with Stage IV Metastatic Pancreatic Cancer. She died of the disease at her home in rural Adair County, Oklahoma, on April 6, 2010.

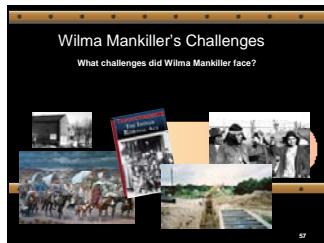
On the passing of Wilma Mankiller, President Obama stated: "I am deeply saddened to hear of the passing of Wilma Mankiller today. As the Cherokee Nation's first female chief, she transformed the Nation-to-Nation relationship between the Cherokee Nation

and the Federal Government, and served as an inspiration to women in Indian Country and across America. A recipient of the Presidential Medal of Freedom, she was recognized for her vision and commitment to a brighter future for all Americans. Her legacy will continue to encourage and motivate all who carry on her work. Michelle and I offer our condolences to Wilma's family, especially her husband Charlie and two daughters, Gina and Felicia, as well as the Cherokee Nation and all those who knew her and were touched by her good works."

## Achievements

Mankiller has been honored with many awards including the Presidential Medal of Freedom, Oklahoma Hall of Fame, National Women's Hall of Fame, 50 Most Influential People of the Century, in Oklahoma, *Ms. Magazine*'s Woman of the Year in 1987, and Hero, Glamour Magazine, 2006. She has also written many books including her autobiography, *Mankiller: A Chief and Her People*, which became a national best seller.

**Application to Transformational Leadership:** The story of Wilma Mankiller and the overwhelming challenges she faced and overcame serves as evidence of her application of transformational leadership throughout her life's achievements. Additionally, the overwhelming qualities of her challenges can be used as analogies for other Tribal leaders seeking to develop strategies for overcoming potential overwhelming situations facing their communities.



## Wilma Mankiller's Challenges

### Discussion Question:

**Based on what you know about Wilma Mankiller, what obstacles/challenges did she face that seemed insurmountable or overwhelming?**

Overwhelming Challenges/Obstacles Faced By Wilma Mankiller	Overwhelming Challenges/Obstacles Faced by Me

**Application to Community Policing Leadership:** The story of Wilma Mankiller and the astonishing challenges she faced and overcame serves as evidence of her application of transformational leadership throughout her life's achievements. Additionally, the overwhelming qualities of her challenges can be used as analogies for other Tribal leaders seeking to develop strategies for overcoming potential overwhelming situations that threaten their quality of life.



### Elements of Transformational Leadership: Four Basic Steps for a Transformational Leader



#### Step 1: Developing the vision

**What was Wilma Mankiller's true vision?**

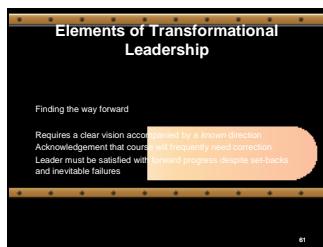
**Application to Community Policing Leadership:** Each of these steps is vital to the transformational leadership approach which in turn allows leaders to be agents of change. This is beneficial in the realm of a Tribes mission especially when dealing with the types of unforeseen events and issues that arise during planning or actual crisis situations. The transformational model encourages leaders to view crisis situations as vital opportunities to grow their organizations, implement change, unlearn problematic behaviors, and most importantly test organizational vision.



## Step 2: Selling the Vision

In order to create followers, the transformational leader has to be very careful in creating trust, and their personal integrity is a critical part of the package that they are selling. In effect, they are selling themselves as well as the vision. Mankiller was especially good at selling her vision. This step is never done. It requires constant energy and commitment to convince people a radical vision is possible and then motivate them to work toward it. A critical part of this step is creating trust. In order for people to follow a transformational leader, they must be able to believe in them.

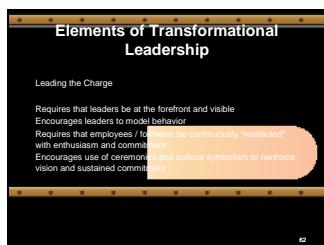
**Application to Community Policing Leadership:** Each of these steps is vital to the transformational leadership approach which in turn allows leaders to be agents of change. This is beneficial in the realm of using the principles of community policing in mission implementation and planning, especially when dealing with the types of unforeseen events and issues that arise during planning or actual crisis situations. The transformational model encourages leaders to view crisis situation as vital opportunities to grow their organizations, implement change, unlearn problematic behaviors, and most importantly test organizational vision.



### Step 3: Finding the way forward

The route forward may not be obvious and may not be plotted in details, but with a clear vision the *direction* will always be known. Thus finding the way forward can be an ongoing process of course correction and the transformational leader will accept that there will be failures along the way. As long as they feel progress is being made, a transformational leader will typically be satisfied. The key is the process of discovery and progress towards a specific vision. Mankiller was committed to this process of exploration in ALL possible avenues toward the vision. This step is done simultaneously with selling the vision. Transformational leaders know the general direction they need to go to achieve the vision and they are committed to the **process**:

- Active legislatively
- Active politically
- In businesses
- In media
- In youth development programs
- In education
- In employment opportunities
- Self-improvement programs...



### Step 4: Leading the Charge

The last step is *leading the charge*. Transformational leaders are always visible and will stand up to be counted rather than hide behind their troops. They show by their attitudes and actions how everyone else should behave. They also make continued efforts to motivate and rally their followers, constantly doing the rounds, listening, soothing and enthusing. It is their unswerving commitment as much as anything else that keeps people going, particularly through the darker times when some may question whether the vision can ever be achieved. If the people do not believe that they can succeed, then their efforts will flag. The transformational leader seeks to infect and re-infect their followers with a high level of commitment to the vision.

One of the methods that the transformational leader uses to sustain motivation is in the use of ceremonies, rituals and other cultural symbolism. Small changes get big hurrahs, pumping up their significance as indicators of real progress.

Overall, transformational leaders balance their attention between action that creates progress and the mental state of their followers. Perhaps more than other approaches, they are people-oriented and believe that success comes first and last through deep and sustained commitment.

- Mankiller led the charge to a point where others believed that if they followed her, they weren't just achieving the vision, *but that they would become like her*. This is characteristic of transformational leaders.
- Mankiller didn't just believe in her vision. She believed in her people.

The collective four steps of transformational leadership is a powerful tool. The process of developing a vision, selling a vision, finding the way forward, and leading the charge can lead to dramatic and sustainable success personally, professionally, and organizationally. There are however some potential pitfalls of this approach including the following:

- The transformational leadership approach, because of its reliance on energy and enthusiasm, can wear other people out.
- If the organization doesn't need to be transformed and people are happy with the way things are, a transformational leadership approach may be extremely detrimental.
- Finally and perhaps most importantly, passion and confidence on the part of a leader extolling a particular vision can be mistaken for truth. The fact is that just because a transformational leader believes that their vision is correct, just, right, or true does not make it so.

Although generally a constructive leadership style, the transformational approach may be misused or otherwise prove to be detrimental. Listed below are some key issues to be aware of:

- While the transformational leader seeks to overtly transform the organization, there is also a tacit promise to followers that they also will be transformed in some way, perhaps to be more like this amazing leader. In some respects, then, the followers are the *product* of the transformation.

- Transformational leaders are often charismatic, but are not as narcissistic as pure charismatic leaders, who succeed through a belief in themselves rather than a belief in others.
- One of the traps of transformational leadership is that passion and confidence can easily be mistaken for truth and reality. While it is true that great things have been achieved through enthusiastic leadership, it is also true that many passionate people have led the charge right over the cliff and into a bottomless chasm. Just because someone *believes* they are right, it does not mean they *are* right.
- Paradoxically, the energy that gets people going can also cause them to give up. Transformational leaders often have large amounts of enthusiasm which, if relentlessly applied, can wear out their followers. Transformational leaders also tend to see the big picture but not the details, where the devil often lurks. If they do not have people to take care of this level of information, then they are usually doomed to fail.
- Finally, transformational leaders, by definition, seek to transform. When the organization does not need transforming and people are happy as they are, then such a leader will be frustrated. Like wartime leaders, however, given the right situation they come into their own and can be personally responsible for saving entire companies.

**Application to Community Policing Leadership:** Each of these steps is vital to the transformational leadership approach which in turn allows leaders to be agents of change. This is beneficial in the realm of a Tribes mission especially when dealing with the types of unforeseen events and issues that arise during planning or actual crisis situations. The transformational model encourages leaders to view crisis situations as vital opportunities to grow their organizations, implement change, unlearn problematic behaviors, and most importantly test organizational vision.



### Transformational Leadership and the Moral Cause

Some believe that the crux of transformational leadership is whether or not the vision is built on a moral cause. Below are some discussion questions:

- Do you believe that transformational leadership requires the leader to build the vision around a moral cause?
- Do you think an IBM executive can be a transformational leader? How? What if their vision is to increase profits by \$2 million in the next quarter?

There is a fundamental difference between being success driven and success of purpose driven. The two concepts are described the following way:

- Success driven can be used to describe anyone with a goal—whether it is monetary or otherwise. Success driven individuals aspire to a specific vision defined by accomplishment.
- Success of purpose involves more than just a goal. It involves striving to meet a vision that incorporates a “higher good” or purpose greater than personal or even organizational success or sense of accomplishment.

Apple Computers, Inc. doesn't just make computers to make money. Their vision is “to make a contribution to the world by making tools for the mind that advance humankind.”.....a purpose greater than the company itself. Note that Apple isn't against making money or turning a profit, but that alone isn't the reason for the company's existence.

#### Discussion Questions:

- Based on this vision statement would you characterize it as success driven or success of purpose driven? Why?
- Did Wilma Mankiller have a moral cause? What was it?

**Application to Community Policing Leadership:** Transformational leadership is by definition driven by success of purpose rather than simply success. Encouraging Tribal leaders to contemplate the fundamental difference between the two may result in a clearer, more focused approach to articulating organizational vision for local and private sector entities involved in supporting Tribal efforts.



Wilma Mankiller's Leadership Approach

## Mankiller Historical Approach

In 1982, the small Cherokee town of Bell Oklahoma consisting of nearly 400 Cherokee people was faced with a seemingly insurmountable problem. Cherokee residents were living in dilapidated homes with no running water or inside plumbing. With the nearest waterline several miles away, Bell, Oklahoma residents were in desperate need of a reliable water source. A community that the general public had written off, and nearly 95% of the employees at the Tribe skeptical of any changes being made, people in Bell felt that this was the way things are, and this was their reality. Families began moving away, and the town school which was the only source of clean water was in danger of closing. Decades of failed and misguided policies had created deep mistrust by the people towards the Tribe, the Bureau of Indian Affairs (BIA), and other organizations.

Cherokee residents in Bell faced innumerable hardships, including poverty, unemployment, restrictive laws, and social limitations, and few opportunities to initiate real change. The severity of these issues gave rise to a new effort designed to save the Bell community and create a better life for the Cherokee people. Lead by Wilma Mankiller, the people of Bell Oklahoma were about to come together to help themselves. Wilma was committed to community improvement and believed that given the chance Cherokee people could solve their own problems and control their own future. Wilma's vision was to help the Cherokee people by given them a chance to do the extraordinary, to attempt something like never before, the creation of a reliable<sup>16</sup> mile waterline.

As a young Native American female, Wilma Mankiller began her work in the Cherokee Nation Tribe in 1977 as an economic stimulus coordinator. Having worked with the Pit River people previously for nearly five years Wilma learned a great deal about treaty rights and the government-to-government relationship between Indian nations and the United States. Between 1977 and 1981 Wilma faced some devastating events in her life including a near fatal accident which almost took her life and unfortunately took the life of her close friend. Wilma also faced significant health problems requiring months of rehabilitation. Working through all of these challenges Wilma returned to her duties with the Cherokee Nation and in 1981 helped found the Cherokee Nation Community Development Department being named the first director.

Looking for new ways to implement renewal projects to rural Cherokee communities Wilma set out to secure funding for one particular project which was to be directed at towards a small community located in Bell Oklahoma.

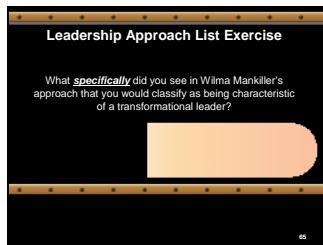
The Bell waterline project provided Wilma with an organized means to effect change, but it wasn't an easy process. Though she was firmly committed to helping the Cherokee Nation and the people of Bell, Oklahoma, Wilma faced a problem of staggering proportions.

Mankiller's communications were not just lofty goals. She worked tirelessly to provide real means for effecting the change she preached. Mankiller is perhaps best-known for the principal chief role she played.

How could she succeed in an era of mistrust, where Tribal members were hesitant to work with outside organizations? How could she overcome the financial problems of the Bell community which stood on the brink of disbanding as a viable community? How could she convince the Cherokee people that they were indeed up to this challenge and could overcome even their own perceptions of their abilities? What could she do to convince the residents of Bell that change was possible in the face of all of this adversity?

As a visionary, Mankiller encouraged people to overcome difficulties and challenges and gave them the tools and resources they needed to do it.<sup>5</sup>

**Application to Community Policing Leadership:** The story of Wilma Mankiller and the astonishing challenges she faced and overcame serves as evidence of her application of transformational leadership throughout her life's achievements. Additionally, the overwhelming qualities of her challenges can be used as analogies for Tribal leaders seeking to develop strategies for overcoming potentially overwhelming situations such as the Bell Waterline project.



<sup>5</sup> The Wilma Mankiller narrative is a compilation derived from various authors and on-line encyclopedias including, but not limited to, Columbia Encyclopedia, Britannica Concise Encyclopedia, and university websites. Also, this narrative is for model leadership purposes only.

**Discussion Question:**

**What specifically did you see in Wilma Mankiller's approach that you would classify as being characteristic of a transformational leader?**

**Transformational Leadership Characteristics and Vision**

- Does this description look familiar to you?
- Have any of you worked for a Transformational leader?
- What was it like?

Transformational leadership is based on:

- People will follow a person who inspires them.
- A person with vision and passion can achieve great things.
- The way to get things done is by injecting enthusiasm and energy.

<b>Transformational Leadership Characteristics</b>	
<b>Trait</b>	<b>Description</b>
Ambitious	Does not need authority or at least is not professionally defined by it.
Intelligent	Includes intelligence beyond knowledge and management techniques—emotional intelligence. Intelligence may not necessarily be the most significant attribute.
Articulate	Communicates exceptionally well—particularly when broadcasting a vision and/or inspiring people to act. Often charismatic.
Servant to his people	Comfortable in team role—comfortable surrounded by specialists and working in a supportive role. Described in following way: “First task of a leader is to define reality, the last task is to say thank you , the middle is spent being a servant” (Bennis and Townsend, 1995, P. 16)
<i>Success of Purpose</i> driven	Motivated by accomplishing a specific purpose rather than generic success.
Gives credit	Comfortable sharing credit with followers, co-workers and others.
The tougher the times the greater the sense of humor	Uses a sense of humor as a motivational, bonding and unifying force—especially during times of stress or crisis.
Strong ego – able and willing to handle feedback	Does not shy away from criticism or appropriate (loyal) dissention. Appreciates the potential benefit of the devil’s advocate role and seeks guidance.
Does not waste employee’s time! It is the most valuable thing that they have!!!!	Focus on mission, project or task—is not concerned with the punching of the time clock.
Considers employees to be volunteers.	Understand that employees are there because they want to be and many could leave for another job at any time.

1. Transformational leadership focuses on a common *vision*.
2. Unlike other theories of leadership that suppose that the ultimate motivator for a leader is success and for a follower it is the reward. Transformational leadership proposes that for the transformational leader and follower the ultimate motivation is success of purpose – the accomplishment of a common vision.
3. In terms of the strategy for giving organizational direction, the transformational leader tends to replace control, order, and energy spent on predicting organizational activities (COP) with acknowledgment, creativity, and empowerment of employees (ACE) (Bennis and Townsend, 1995).

**Definition of *Vision*:**

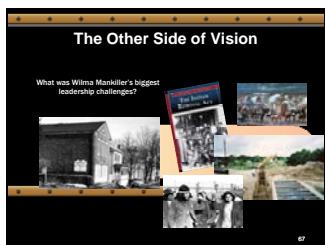
The word *vision* is used when discussing leadership because it has significant and meaningful connotations. At its root it means the ability to see. This implies that an image exists and is tangible. The word also seems to suggest foresight, innovation, and even a standard of excellence. When used in specific reference to leadership, *vision* refers to the ability to define the ideal situation [usually for a company, business, group, or organization of some sort] and then develop a unique image of the future with the ideal as a reality (Kouzes and Posner, 1995, p.95).

**Applications of *Vision*:**

1. “The most important role of visions in organizational life is to give focus to human energy. Visions are like lenses that focus unrefracted [sic] rays of light. To enable everyone concerned with an enterprise to see more clearly what is ahead of them, leaders must have and convey a focus” (Kouzes and Posner, 1995, p.109).
2. “Vision grabs. Initially it grabs the leaders, and through their enthusiasm, followers and other stakeholders start paying attention. A company’s attention is sustained, though, only by what the leader does and how he acts in pursuit of the dream” (Bennis & Townsend, p. 46).
3. “Vision conveyed to the organization through action brings about a confidence on the part of the followers, a confidence that instills in them a belief that they are capable of doing whatever it takes to make the vision real. On the other hand, a vision that can’t be acted on because of cluttered company structure or useless rules is demoralizing, and sometimes destructive. When we discuss transforming the organization, this is part of what we are talking about: cleaning up the system so it will embrace good leadership, not subvert it” (Bennis & Townsend, p. 46).

4. “Vision always comes back to leadership. People look to their formal leaders for vision and direction. While leaders should involve people in shaping direction, the ultimate responsibility for ensuring and maintaining a vision remains with the leaders and cannot be delegated to others. Creating a vision is not an activity that can be checked off a list. It is one of the most critical ongoing roles of a successful leader” (Blanchard, 2007, p.35).

**Application to Community Policing Leadership:** Personal and professional characteristics are a vital aspect of the transformational leadership approach. The discussion of this may lead Tribal leaders to be introspective and assess their capability to use this particular approach. Additionally, the inventory of characteristics and traits associated with the transformational approach may encourage Tribal leaders to consider adopting the role of organizational “architect.” This function will allow Tribal leaders to ensure that their team members (employees) are assigned to functions which they are best suited for (putting the right people in the right places based on their traits, characteristics and KSAs).



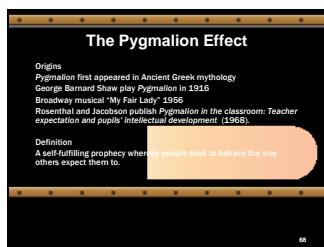
- **What was Wilma Mankiller’s vision?**
- **Was she able to reach it despite all of the challenges she faced?**
- **Of all the challenges that Wilma Mankiller faced and overcame – what was the greatest one?**

Overwhelming Challenges/Obstacles Faced By Wilma Mankiller	Overwhelming Challenges/Obstacles Faced by Me

**Discussion Questions:**

- **Are the challenges overwhelming?**
- **Do they seem insurmountable?**
- **How do they compare with what Wilma Mankiller faced?**

A gifted transformational leader, like Wilma Mankiller, is capable of manipulating expectations of individuals as well as entire organizations in way that can impact efficacy. To better understand this, the concept of Pygmalion Effect is detailed in the following section.

**The Pygmalion Effect and Transformational Leadership**

- **How many of you have heard of the Pygmalion Effect?**
- **Can anyone define it?**

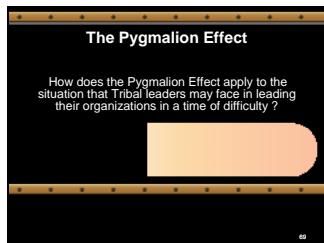
*A self-fulfilling prophecy whereby people tend to behave the way others expect them to. In a famous field experiment on the Pygmalion Effect in children, carried out by the German-born U.S. psychologist Robert Rosenthal (born 1933) and the U.S. schoolteacher Lenore F. Jacobson (born 1926) and published in a book entitled *Pygmalion in the Classroom* (1968).*

Robert Rosenthal and Lenore Jacobson published this book in 1968 on the Pygmalion Effect.

- They completed a field study on elementary school kids.
- Tested the student's intelligence quotient.
- The teachers were told which students scored higher and which scored lower, but actually it was just a random list.

- The researcher came back at the end of the year and retested all the students.
- Those students who were given “advanced attention” by the teachers actually had significantly improved academic performance.
- TRANSLATION: the change in the teachers’ expectations led to an actual change in performance. The findings of the experiment specifically note that *“those average children who were expected to bloom intellectually were rated by teachers as more intellectually curious, happier, and in less need for social approval.”*

**Application to Community Policing Leadership:** The lessons of the Rosenthal’s and Jacobson’s research have a powerful and immediate application to Tribal leadership. Specifically, leaders and decision makers have the ability to set expectations that may influence and sometimes even dictate the success of their organizational and/or community efforts. Tribal leaders have by virtue of their positions a great deal of influence. Avoiding the pitfall of accepting expectations of underperformance or failure is vital to effectively dealing with a critical incident.



### The Pygmalion Effect

- The situation faced by Wilma Mankiller.
- The situation that Tribal leaders may face in leading their organizations in a time of difficulty/crisis (i.e. Bell Waterline Project).
- The value of transformational leadership as a way of managing the Pygmalion Effect.
- The potentially positive connotations of the Pygmalion Effect.
- Examples (provided by participants) of the Pygmalion Effect in action.

**Application to Community Policing Leadership:** The lessons of the Rosenthal’s and Jacobson’s research have a powerful and immediate application to Tribal leadership. Specifically, leaders and decision makers have the ability to set expectations that may influence and sometimes even dictate the success of their organizational and/or community efforts. Tribal leaders have, by virtue of their positions, a great deal of

influence. Avoiding the pitfall of accepting expectations of underperformance or failure is vital to effectively dealing with a critical incident.

## Applying Transformational Leadership to Your Leadership Challenge



### Discussion Questions:

- What aspects of the transformational model will help you in applying the Tribal mission strategies in your organization? In your jurisdiction?
- Are there any aspects of the model that you do not believe will be applicable to the tribal mission strategies of your organization? Of your jurisdiction?

### Examples of Transformational Leadership



#### Tom Ridge

After being elected Governor of Pennsylvania, Tom Ridge faced many complicated challenges. In addition to the typical budgetary concerns and logistical issues of governing a large northeastern state, Ridge found himself having to deal with a large state government bureaucracy and high taxes rates. Ridge also found himself facing an especially troubling technological deficiency in the state governments operations. Pennsylvania was one of only two U.S. states NOT to have a website. In many ways the state was a "laughing stock" when it came to technology. After assuming the governorship in 1995, Ridge immediately went to work on budgetary initiatives. He

worked to cut taxes, grow the state's economy, while simultaneously creating a \$1 billion dollar rainy day fund.

Ridge also made it a point to emphasize the importance of several e-government projects including some basic e-services such as electronic renewal of state drivers' licenses and vehicle registrations, and electronic viewing of historical documents and library catalogs. However, Ridge did not stop there. Under Ridge's administration Pennsylvania's Department of Education put into place one of the nation's first electronic grant systems. Ridge also oversaw the creation of the Link-to-Learn initiative designed to increase the effective use of technology in the state's public schools and universities. Under Ridge's leadership, the Commonwealth of Pennsylvania went from being a technological laughing stock to winning several national recognitions for its web portal including the "Best of the Web" award from *Government Technology Magazine*.

In 2008, in an interview, Tom Ridge was asked this:

*"Transforming our educational system is a daunting challenge. What are the keys to getting big, signature initiatives like these through the political system and executive in the face of strong opposition?"*

His response is worth quoting:

*First you have to accept from the very beginning that it is human nature to resist change. And if it's big change, people dig their heels in even deeper. You try to rationalize and understand why it occurs. The explanation may be as simple as this is the way we've done it before and why should we change and do it differently now? One of the best ways to effect change is to make those individuals or those organizations who are going to be apart of the change not only a consumer, but an architect of the change. So if you're going to effect change on a large scale, I think it's a lot better to bring those people who would be affected by it in at the front end to explain why you're doing it, what you're trying to do, and invite them to participate.*

-Tom Ridge

- **In your group's opinion is Tom Ridge a transformational leader? Why or Why not?**
- **Name another example of a homeland security leader that personifies transformational leadership. What are the major reasons for your group's selection?**
- **In your groups opinion is Tom Ridge a transformational leader? Why or Why not?**
- **Name another example of a tribal leader that personifies transformational leadership. What are the major reasons for your group's selection?**



## General Petraeus

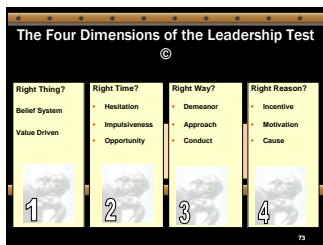
As the Commanding Officer of the 101<sup>st</sup> Airborne Division, General Petraeus was instrumental in the 2003 campaign that ended with the fall of Baghdad to U.S. forces. Afterwards, Petraeus and the 101<sup>st</sup> were ordered to take control of the Iraqi city of Mosul and administer its daily operations. Petraeus and his troops not only accomplished their mission but were able to do what other forces could not – stabilize the region and initiate a vigorous reconstruction initiative. The following excerpt summarizes their performance:

Under Petraeus, the offices of the 101<sup>st</sup> found themselves playing far out of position. One of his artillery officers was charged with figuring out how to get the region's oil flowing again. Some officers supervised cement factories, others electricity generation. Soldiers who had studied military aviation tactics found themselves figuring out how to administer a university. Petraeus himself supervised the city's first real elections (Barnes, 2005). Ultimately, Petraeus and his troops reinvigorated the local economy, gained the respect and occasionally the trust of the locals, and started approximately 4500 reconstruction projects in the region.

### Discussion Questions:

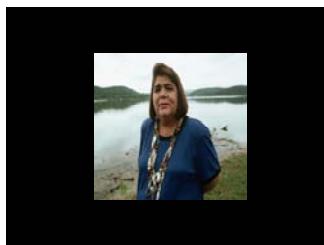
- Based on what we just heard, is David Petraeus a transformational leader? Why?
- Can a leader be considered a situational, primal leader and transformational leader? How? Why?

### The Four Dimensions of the Leadership Test ©



**Application to Tribal Leadership:** The application of the Leadership Test © to modern day Tribal leaders is an opportunity for participants to practice the process of applying the Leadership Test © to complex issues facing Tribes.

### Simulator Exercise/Simulator Demonstration/Group Response



Proceed to the challenge screen by selecting the “Go To Challenge” option:

- Based on what you know about the situation you will face and the information you have evaluated thus far, select an action or strategy that best captures the style of leadership that will be most useful in addressing the challenge you face. Remember the focus of your selection should be the leadership orientation (style) that is represented by the actions described in the simulator.
  - For option #1 press A on your Qwizdom response unit.
  - For option #2 press B on your Qwizdom response unit.
  - For option #3 press C on your Qwizdom response unit.

### Mankiller Pay Off

In my own life, I dealt with many seemingly insurmountable challenges. Faced with the all-too-real issues of discrimination, mistrust, and sexism, which placed legal and social constraints on what I and my team could do, I managed to never lose sight of my vision - even in the face of the significant economic challenges facing the Bell Oklahoma community.

While building a waterline was a product of my work, they were not my sole purpose. As a leader, I recognized that the needs in my community were great. People needed both resources and opportunities to believe in their own potential, and to create a better life for themselves, despite the difficulties that surrounded us all. I worked to create not only the opportunities for the community to build self-respect, self-discipline, jobs, and a future, but also a higher set of standards and expectations, along with the means of achieving them. As a leader, it was my responsibility to make insurmountable

challenges surmountable, and then pass those dreams on to the community with the resources and tools to make them happen.

The challenges you face in preparing for challenge may also seem insurmountable. It will be easy for you or your team to become overwhelmed and lose sight of your vision and goal. Recognize that your overall mission is so crucial that it doesn't matter what obstacles you face along the way. These are details that simply must be overcome so the vision can be attained. Use your leadership skills to diminish the impact of those obstacles along the way, provide your team with the resources and tools they need, and then integrate the overall vision into everything you do and say. Your team must live and breathe this vision, inspired by your actions and your words. You must guide them to see the desired outcome they must reach.

By using the transformational leadership model to address this type of challenge, you can transfer your own vision of success to your team and work together to achieve great things. When the difficulties and obstacles of emerging situations threaten to overcome your resources, transformational leadership principles may assist you in doing the right thing, at the right time, in the right way, and for the right reasons.

**Application to Community Policing Leadership:** The Bell Waterline vignette is designed to introduce the class participants to the real issues that can pose a significant challenge to operations of tribal, public and private sector agencies involved in tribal efforts. The simulator challenge activity is a realistic exercise that directly applies to and mirrors many of the information evaluation and decision-making processes involved in tribal leadership. The simulator exercise allows participants to consider the leadership approach they would take prior to and during a challenge in the safety of a virtual (simulator) environment.

The value of transformational leadership is a means to apply and integrate the tribal mission through a *Shared Vision*. The following is a summary of discussion points:

- Transformational leadership recognizes that sharing a *purpose*, is perhaps the best motivator for organizational success. This is certainly critical to facilitating active participation from organizational personnel as well as members of the community that will be involving in applying the mission strategies to the National Planning Scenarios.
- The model avoids the pitfalls of low expectations and the tendency of prophecies to become self-fulfilling (the Pygmalion Effect). To the contrary, the transformational leadership model often inspires people to achieve beyond expectations. The way in which the model suggests that leaders

exact influence (providing vision, sharing credit, use of humor, setting high standards, etc. may be the best means by which leaders can encourage comprehensive preparedness planning).

- The transformational model encourages leaders to be “architects” of their organizations rather than task managers. This definition of the leadership role will allow Tribal leaders to ensure that organizational form (structure, activities, and priorities) is consistent with organizational function (the application of the Tribal mission strategies).
- The model calls for leaders to be agents of change. This is especially beneficial in the realm of Tribal mission implementation and planning. Especially when dealing with the types of unforeseen events and issues that arise during planning or actual crisis situations. The transformational model encourages leaders to view crisis situation as vital opportunities to grow their organizations, implement change, unlearn problematic behaviors, and most importantly test organizational vision.



## Test Your Knowledge

1. Characteristics generally attributed to transformational leaders include:

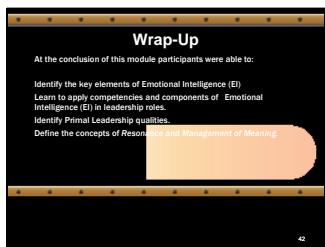
- A healthy ego
- Unable to handle feedback or criticism well
- Thrive on the notions of power or authority
- None of the above
- All of the above

2. Transformational leaders are motivated by success rather than being purpose driven.

- True
- False

3. The transformational leadership process moves through the following:

- a) Leading the charge-Finding the way forward-Developing the vision-Selling the vision.
- b) Developing the vision-Leading the charge-Finding the way forward-Selling the vision.
- c) Developing the vision-Selling the vision-Leading the charge-Finding the way forward.
- d) Developing the vision-Selling the vision-Finding the way forward-Leading the charge.



## Wrap-Up

At the conclusion of this module, participants were able to:

- Identify and apply key elements of transformational leadership
- Identify the role of influence in organizational leadership
- Identify the significance of vision in organizational achievement
- Understand the difference between being success driven and “success of purpose” driven

## APPENDIX

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## Appendix MODULE 1, A. Qwizdom Action Point Guide

### How to use the Qwizdom:

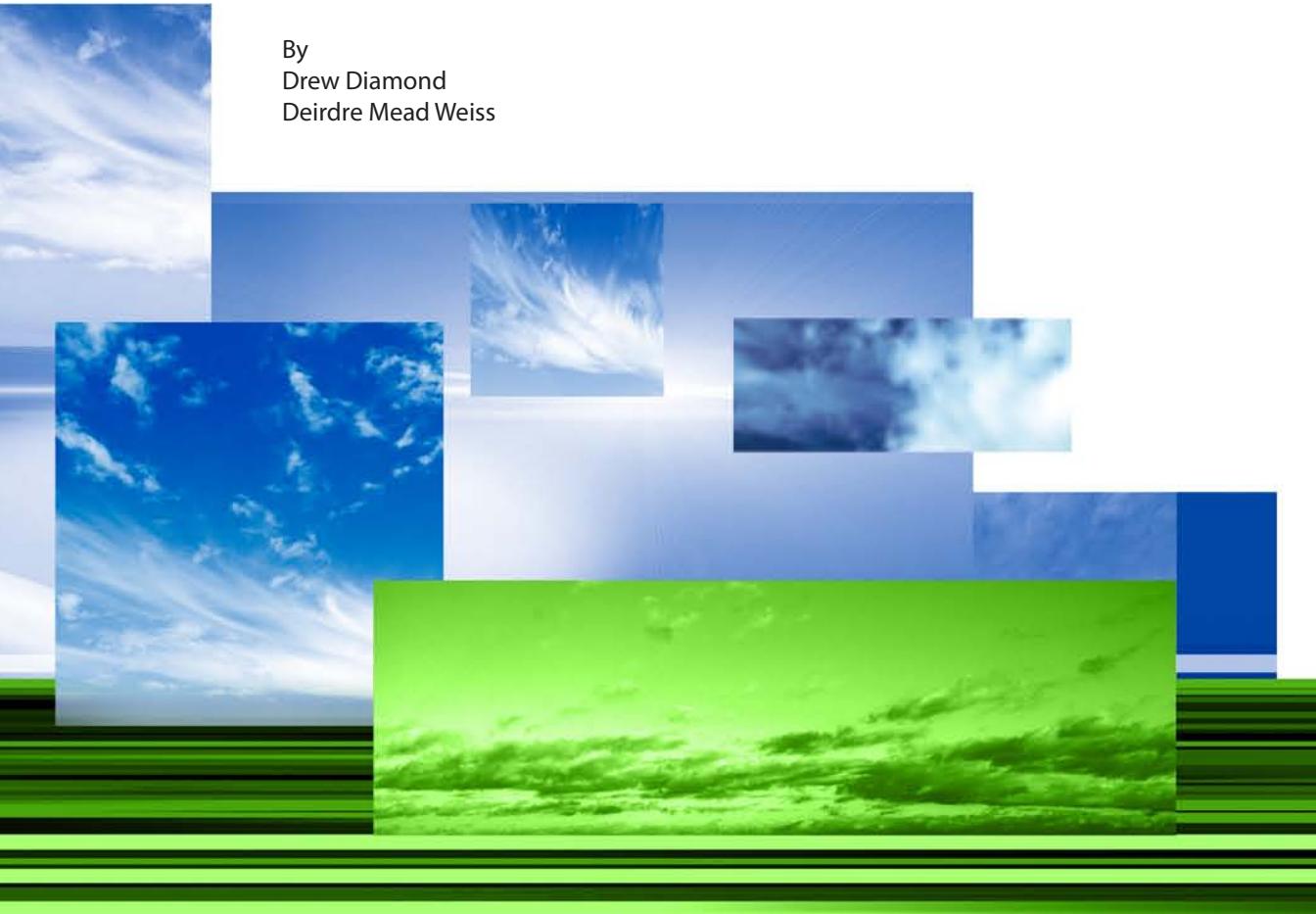


1. *Send* key-press to submit answer
2. *Menu* [power] key-press to view menu options (use the scroll keys to scroll through options and press *Send* key to select the option). Holding the *Menu* button for two seconds will turn the remote on/off. The remotes do not automatically turn off. Turn off remotes if they are not in use. *Search*, *Sess. ID*, and *User ID*, and *Exit* are options available in the Menu. When you're in presentation, the menu items are *Help*, *Login User Id*, and *Exit*.
3. *Help*-press *Menu* during presentation to request help.
4. *Clear* [C] key-press to delete response
5. *Scroll* keys-to scroll through menu options or answer choices
6. *True/Yes* and *False/No* keys--use to answer True/False and Yes/No questions



# Advancing Community Policing Through Community Governance: A Framework Document

By  
Drew Diamond  
Deirdre Mead Weiss



POLICE EXECUTIVE  
RESEARCH FORUM

**COPS**  
COMMUNITY ORIENTED POLICING SERVICES  
U.S. DEPARTMENT OF JUSTICE



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Web sites and sources listed provided useful information at the time of this writing, but the authors do not endorse any information of the sponsor organization or other information on the web sites.

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## Introduction

About 25 years ago, a number of progressive police departments began experimenting with a new approach to policing that focused on improving relations between police officers and the communities they serve. This approach to policing, called community policing, focused on developing partnerships between the police and the community, addressing community problems through systematic problem-solving efforts, and finding ways to ensure that officers' efforts in these areas receive support from the police department. Today, community policing is widely accepted in police departments across the county, and the vast majority of community members and local politicians want their police department to be a community policing agency.

As police departments implemented the community policing philosophy, they developed a deeper understanding of what it means to partner with the community. The community is not merely the people living or working within a city, but also the city's nonprofit and community-based organizations, local businesses, and, also important, government agencies. As police departments strengthen and advance their community policing efforts, they call on their colleagues in other departments of their own city government to assist with problem-solving efforts in the community. At this same time, many city administrators are seeking ways to increase community involvement in local government matters. These same managers are also trying to create a more transparent government structure that stresses accountability and responsiveness to the community.

Cities that pursue these efforts are beginning to adopt a new approach to local governance—one that is service-oriented. We refer to this philosophical approach to local governance as "community governance." At its most basic level, community governance takes the philosophy and elements of community policing to the citywide level. It stresses collaboration among city agencies and with the community, systematic problem-solving efforts, and organizational changes to support this new orientation.

## About the Document

*Advancing Community Policing through Community Governance: A Framework Document* serves as a basis for defining the community governance approach and what it looks like in practice by taking the first step of starting the discussion about community governance. We hope that additional projects and research in the future will expand the community governance knowledge base. This document will be of particular interest to police chiefs, city managers, mayors, and other municipal agency executives who are interested in developing a more collaborative approach to local governance in responding to community problems and issues.

## Document Development

This document reflects an extensive review of the existing literature about community policing and community governance. The research team also gathered data from interviews with city management teams (e.g., political leaders, city administrators, and municipal agency executives and supervisors) and observation of city operations in five municipalities: Anaheim, California; Irving, Texas; Longmont, Colorado; Prince William County, Virginia; and Wichita, Kansas. In 2005, prior to the start of the project, the Police Executive Research Forum, with support from the Office of Community Oriented Policing Services (the COPS Office), held a focus group comprising police chiefs and city managers, to discuss community governance and community policing. The proceedings from that focus group added depth to the research, as did the proceedings of the session on community governance at the COPS Office's 2006 National Conference. Finally, we gathered information from a series of roundtable meetings with police leaders that were held in the spring of 2007 as part of another research project.<sup>1</sup> The roundtable meetings focused on the status, challenges to, and future of community policing. Throughout these meetings, police leaders emphasized that advancing community policing means taking the principles and elements of community policing across the city structure. Their comments and discussions added context to this framework document.

<sup>1</sup> For further information about this project, see its resulting COPS Office publication *Community Policing: Looking to Tomorrow* by Drew Diamond and Deirdre Mead Weiss.

<sup>2</sup>See, e.g., Chapman and Scheider, 2006; Diamond and Weiss, 2009; Reiss, 2006; and Renaud and Batts, 2006.

<sup>3</sup>For a discussion of these issues from public administration scholars and practitioners, see, e.g., summary of Clarke and Stewart, 1998, in Joseph Rowntree Foundation 1999; Fischer-Stewart, 2007; Kettl, 2000, p. 488; National League of Cities, 2005, p.7; National League of Cities Institute for Youth, Education, and Families, 2006; and Thomas, 1999, p.83.

<sup>4</sup>For a further discussion see Bureau of Justice Assistance, 2001; Jarvi and Wegner, 2001; Joseph Rowntree Foundation, 1999; Marshall, Wray, Epstein, and Grifel, 2000; Mudd, 1976, p 114; and Ney and McGarry, 2006.

<sup>5</sup>See, e.g., British Council on Governance quoted in Marshall et al, 2000, p. 215; Clarke and Stewart, 1992, p. 29 quoted in Horrocks and Bellamy, 1997; Gates, 1999; and National League of Cities, 2005, p.7.

<sup>6</sup>See, e.g., Denhardt and Vinzant Denhardt, 2000; Epstein, Coates, Wray, and Swain, 2005; Jarvi and Wegner, 2001, p. 26; Nalbandian, 1999; National League of Cities, 2005; Potapchuk and Kennedy, 2004; and Simrell King, Feltey, and O'Neill Susel, 1998.

## Section I: The Emergence of Community Governance

Community governance is a philosophical approach to local governance in which municipal agencies, city leaders, and the community (e.g., nonprofit and community-based organizations, individuals, and businesses) view themselves as partners and collaborate to address community problems and improve the overall quality of life. Community governance, still a relatively new concept, is being adopted in many cities and towns across the United States. These cities believe that there is a need for a holistic, collaborative approach to providing municipal services and addressing community problems. They recognize that city departments need to work with each other and the communities they serve to effectively address the complex, multidisciplinary challenges that face cities and towns today. Additionally, these jurisdictions understand that their agencies and the community can contribute a part of the answer to seemingly intractable community problems and, therefore, they regularly use the resources and expertise of both groups.

Some of community governance's strongest advocates today include police chiefs, city managers and administrators, and mayors who have embraced the community governance concept for its ability to bring municipal agencies, community organizations, businesses, and individuals together and engage them to address local problems, improve community quality of life, and plan for the future. For many local leaders, especially police chiefs, community governance is the natural extension of community policing. It applies the community policing philosophy and its elements at the citywide level.<sup>2</sup> For other local leaders, community governance has emerged from their understanding that both municipal agencies and the community have roles and responsibilities to fill. They include working together to share the responsibility for public safety and community quality of life.<sup>3</sup> Municipal agency coordination and responsiveness are essential to these efforts but, unfortunately, generally have been lacking in matters requiring action across municipal agencies and with community organizations.<sup>4</sup> Still other municipal leaders have begun to shift their approach from government (an institution) to governance (a process).<sup>5</sup> These leaders often point to the need for civil servants to have new skill sets that allow them to act as facilitators, consensus builders, collaborators, and community builders who engage the public in decision-making processes.<sup>6</sup> These ideas are also embraced by proponents of community policing, who stress that the police and the community share the responsibility for community safety and often act as facilitators and collaborators when engaging the community in problem-solving efforts around crime and disorder issues.

## The Origins of Community Policing

In an effort to curb corruption early in the 20th century, police departments attempted to separate themselves from the public and the world of politics and began to adopt a more “professional” image—that of a military model of management, education, and uniformity through training.<sup>7</sup> Over time, the police became an insulated unit: they centralized authority to control precinct captains and stressed serious crime over problems of social disorder.<sup>8</sup> Neighborhood residents no longer knew their local police officer and technology moved beat officers into radio-equipped patrol cars.<sup>9</sup> The radios allowed officers to race from call to call and police had less time to concern themselves with the overall well-being of the neighborhood. In other words, police became response-driven. Artificial measures of efficiency became more important than true effectiveness and the police began to be measured by how many calls they responded to, not necessarily whether they solved the problems that resulted in the calls for service.<sup>10</sup>

The professionalism movement succeeded in separating the police from the public and political influences, but the reform era also brought with it some serious challenges for policing—namely that it contributed to disaffection and lack of trust, especially between the police and the poorest and least powerful people they serve. Community policing seeks to amend the shortcomings of this “professionalism” or “traditional policing” model, by bringing the officer and the community back into contact with each other. Community policing places a much stronger focus on developing and maintaining trust and positive relationships between the police and all people they serve.

Community policing’s emphasis on developing partnerships to address community crime and disorder problems and supporting that effort through organizational change has transformed American policing. Today, a large majority of police chiefs support community policing to some degree, in step with mayors and city managers requiring community policing skills as a key competency for the city’s police chief. Within only a generation, community policing has become the predominant approach to policing in American police departments.<sup>11</sup>

## What is Community Policing?

Community policing is a philosophical approach to policing; it is not a program or set of programs or tactics.<sup>12</sup> Police departments that embrace the community policing philosophy work in partnership with the community to address local public safety problems and make organizational changes to support these efforts. There are three elements to the community policing philosophy: community partnerships, problem solving, and organizational transformation (see Figure 1). These elements are expressed through principles, such as leadership, vision, equity, trust, empowerment, service, and accountability.<sup>13</sup>

<sup>7</sup>See Greene, 2000; and Trojanowicz, Kappeler, Gaines, and Bucqueroux, 1998.

<sup>8</sup>See Patterson, 1995.

<sup>9</sup>See Allender, 2004.

<sup>10</sup>See Allender, 2004 and Patterson, 1995.

<sup>11</sup>See, e.g., Mastrofski, Willis, and Kochel, 2007; and Fridell and Wycoff, 2004. Additionally, in recent years, the Department of Justice’s Law Enforcement Management and Administrative Statistics and Local Police Department reports have detailed a range of community policing activities in which local law enforcement agencies engage. Reports are available on the Bureau of Justice Statistics web site, [www.ojp.usdoj.gov/bjs/](http://www.ojp.usdoj.gov/bjs/).

<sup>12</sup>For a further discussion about the origins and foundations of community policing, see Bureau of Justice Assistance, 1994.

<sup>13</sup>For a further discussion of these principles see Trojanowicz and Bucqueroux, 1998, p. 8–10.

### Community Policing Definition

Community policing is a philosophy that promotes organizational strategies, which support the systematic use of partnerships and problem-solving techniques, to proactively address the immediate conditions that give rise to public safety issues such as crime, social disorder, and fear of crime. (U.S. Department of Justice Office of Community Oriented Policing Services, 2009)<sup>14</sup>

<sup>14</sup>This is the U.S. Department of Justice Office of Community Oriented Policing Services' definition of community policing. See [www.cops.usdoj.gov/RIC/ResourceDetail.aspx?RID=513](http://www.cops.usdoj.gov/RIC/ResourceDetail.aspx?RID=513).

**Figure 1: Community Policing Definition Framework.**

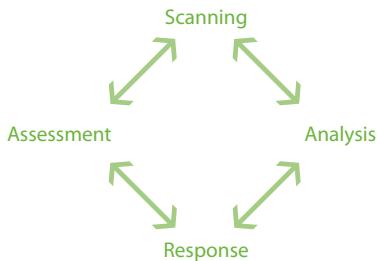
Community Partnerships:	Organizational Transformation:	Problem Solving:
<p>Collaborative partnerships between the law enforcement agency and the individuals and organizations they serve to develop solutions to problems and increase trust in police.</p> <ul style="list-style-type: none"><li>• Other Government Agencies</li><li>• Community Members/ Groups</li><li>• Nonprofits/Service Providers</li><li>• Private Businesses</li><li>• Media</li></ul>	<p>The alignment of organizational management, structure, personnel, and information systems to support community partnerships and proactive problem-solving.</p> <ul style="list-style-type: none"><li>• Agency Management<ul style="list-style-type: none"><li>– Climate and culture</li><li>– Leadership</li><li>– Labor relations</li><li>– Decision-making</li><li>– Strategic planning</li><li>– Policies</li><li>– Organizational evaluations</li><li>– Transparency</li></ul></li><li>• Organizational Structure<ul style="list-style-type: none"><li>– Geographic assignment of officers</li><li>– Despecialization</li><li>– Resources and finances</li></ul></li><li>• Personnel<ul style="list-style-type: none"><li>– Recruitment, hiring, and selection</li><li>– Personnel supervision/ evaluations</li><li>– Training</li></ul></li><li>• Information Systems (Technology)<ul style="list-style-type: none"><li>– Communication/access to data</li><li>– Quality and accuracy of data</li></ul></li></ul>	<p>The process of engaging in the proactive and systematic examination of identified problems to develop effective responses that are evaluated rigorously.</p> <ul style="list-style-type: none"><li>• Scanning: Identifying and prioritizing problems</li><li>• Analysis: Analyzing</li><li>• Response: Responding to problems</li><li>• Assessment: Assessing problem-solving initiatives</li><li>• Using the crime triangle to focus on immediate conditions (victim/offender/ location)</li></ul>

Community partnerships are collaborative relationships that police department employees at all levels and ranks develop with individuals and organizations that have a stake in a variety of community issues. Police personnel are expected to have a broad range of partners in the community and to engage them in

problem-solving efforts. Both the police department and the community partners are expected to demonstrate their commitment to these efforts by applying their expertise and resources.

Problem solving is a systematic method of collaboratively identifying, analyzing, responding to, and evaluating the response to specific community problems. Police departments and communities across the country that have been trained in community policing and problem solving often utilize a specific problem-solving model called SARA.<sup>15</sup> The SARA model has four phases: scanning, analysis, response, and assessment. During scanning, stakeholders (i.e., police and a wide range of community partners) identify community problems and choose the problem or problems on which they will focus their efforts. Problems are defined as two or more incidents that are similar in nature and capable of causing harm. In addition, there must be a public expectation that something needs to be done to address the problem. Stakeholders then analyze the problem to identify why it is occurring, who is causing the problem, who is being affected by the problem, and what harms result from the problem. With the information gathered in the analysis phase, stakeholders respond by developing and implementing strategies or programs designed to eliminate or decrease the problem. Finally, during the assessment phase, stakeholders examine the effectiveness of their response. It is important to note that the problem-solving process is circular, allowing the users to go back to each step whenever necessary. Revisiting a step does not indicate failure (see Figure 2).<sup>16</sup>

## Figure 2: The SARA Model of Problem Solving.



A police department that utilizes community partnerships and problem-solving efforts as part of its efforts to reduce crime and citizen fear of crime has different organizational needs and challenges than a traditional police department that does not engage its community in such efforts. This is because community policing challenges the basic beliefs that were the foundation of traditional policing.<sup>17</sup> The changes that a community policing agency must make in its management, organizational structure, personnel practices, and technology and information systems in support of community policing are referred to as organizational transformation. Such organizational transformation efforts

<sup>15</sup>The SARA problem-solving model has its origins in the work of Herman Goldstein who conducted early research in problem-oriented policing (see, e.g., Goldstein, 1990) and also in the research of the Police Executive Research Forum (see Eck and Spelman, 1987).

<sup>16</sup>Training curricula for the SARA model of problem solving are available on the Police Executive Research Forum web site: [www.policeforum.org](http://www.policeforum.org). The U.S. Department of Justice Office of Community Oriented Policing Services (the COPS Office) has also sponsored a number of specific topical guides on problem-oriented policing. See [www.cops.usdoj.gov](http://www.cops.usdoj.gov) for more information. Another important problem-solving resource is the Center for Problem Oriented Policing, [www.popcenter.org/](http://popcenter.org/).

<sup>17</sup>For a further discussion see Trojanowicz, Kappeler, Gaines, and Bucqueroux, 1998; and Chapman and Scheider, 2006, p.2.

include promoting an agency climate and culture conducive to community policing; devolving power and decision-making authority to officers engaged in community policing activities; ensuring transparency and accountability; assigning officers to geographic districts; training officers to be “generalists” rather than “specialists”; recruiting, selecting, and hiring service-oriented officers; providing community policing training; evaluating officers on their community policing activities; and ensuring access to information and information systems that provide data about, and context to, community policing activities.

#### What Does Community Policing Look Like?

Community policing focuses on crime and social disorder through the delivery of police services that includes aspects of traditional law enforcement, as well as crime prevention, problem solving, community engagement, and partnerships. The community policing model balances reactive responses to calls for service with proactive problem solving centred on the causes of crime and disorder. Community policing requires police and citizens to join together as partners in the course of both identifying and effectively addressing these issues. (U.S. Department of Justice Office of Community Oriented Policing Services 2003)

## The Transition from Community Policing to Community Governance

Many police departments engaged in community policing, as well as scholars who research it, have realized that police departments need a broad range of multidisciplinary partnerships with the community to address local public safety problems. This means partnerships with community-based organizations (e.g., advocacy organizations, faith-based groups, Rotary clubs), community businesses, individual community members, and government agencies—especially at the municipal level.<sup>18</sup> Many police departments view partnerships with their fellow municipal agencies as an essential component of successful community policing. Police departments need the assistance of their municipal agency counterparts to address recurring crime, disorder, and other problem issues identified by the community.<sup>19</sup> The problem of burglaries in overcrowded apartments or break-ins in abandoned or unkempt buildings, for example, often touch on code enforcement or environmental health issues. Similarly, youth vandalism of community parks has implications for police as well as parks and recreation, schools, and youth officials.

In some communities, police officials and their municipal agency counterparts have been able to collaborate and work together easily to address these issues and resolve or reduce identified problems. In other communities, however, police officials have not been as successful in developing and maintaining

<sup>18</sup>For a discussion from the perspective of policing scholars see Wood, Rouse, and Davis, 1999; and Scott and Goldstein, 2005. For a discussion from the perspective of community planners, see Rohe, Adams, and Arcury, 2001. For a popular press discussion of this topic, see Stephens, 2001.

<sup>19</sup>For a further discussion of police practitioners’ perspective see Diamond and Weiss, 2009.

collaborative relationships with their municipal agency counterparts and have attributed these difficulties to various organizational philosophies and approaches to service and collaboration. Still other communities have seen short-term successes in interdepartmental and community collaborations, but have used these methods merely as short-term responses to specific community problems rather than as an ongoing, citywide operating philosophy.<sup>20</sup>

For these reasons, there has been a growing interest, especially among policing leaders and city administrators, in seeing the elements of community policing and its service orientation adopted throughout of local government.<sup>21</sup> These officials believe that such efforts will make their community policing efforts more successful and will contribute to a thriving community in which people want to live and work.

#### Why Should I be Interested in Community Governance?

Community governance can help city administrators, police chiefs, and other city department leaders use their expertise and limited resources (e.g., human, financial, technological, and logistical) effectively. Community governance does the following:

- Recognizes that the activities of one city department affect other departments.
- Provides a holistic approach to local government service delivery that breaks down organizational barriers.
- Encourages community and municipal stakeholders to pool expertise and limited resources to address community problems.
- Provides a voice for the full range of community stakeholders and input into decision-making processes.
- Engages community members in their own well-being and in improving the community's quality of life.
- Adheres to the democratic principles of equality and responsiveness.
- Increases the transparency and accountability of local government.
- Shares the responsibility for community safety and quality of life between local government and the community.
- Stresses community well-being outcomes (e.g., health and safety), rather than mere outputs (e.g., number of persons vaccinated, number of tickets written).

The rest of this document is dedicated to exploring community governance in greater detail. In Section II, the four community governance elements are discussed separately regarding what they mean for municipalities and the community. This section also discusses the important role of leadership in initially adopting and then institutionalizing and advancing community governance; highlights some of the key challenges to implementation and sustainability; and provides some tips from the field. Section III describes community governance efforts in five American communities: Anaheim, California; Irving, Texas; Longmont, Colorado; Prince William County, Virginia; and Wichita, Kansas.

<sup>20</sup> For a further discussion see Stewart-Brown, 2001, p.9.

<sup>21</sup> See, e.g., Diamond and Weiss, 2009; Fischer-Stewart, 2007, p. 7; National League of Cities Institute for Youth, Education, and Families, 2006; Reiss, 2006; and Renaud and Batts, 2006.

## Section II: Defining Community Governance and Its Elements

Community governance, like community policing, is not a set of programs. Rather, community governance is a philosophical approach to local governance. At its core, community governance seeks to help cities better coordinate their service delivery and collaboratively solve community problems. Community governance focuses on “governance” as a process rather than on “government” as an institution. Community governance relies on municipal agencies to engage each other and work together and with their community to address community problems, improve the quality of life, and plan for the future. Agencies engaged in community governance, just like those engaged in community policing, need to make organizational changes to support this approach to local government. Four elements comprise the community governance philosophy:

1. Partnerships among municipal agencies.
2. Partnerships with the community.
3. Collaborative problem-solving efforts.
4. Organizational change.

### What is Community Governance?

Mutual responsibility coupled with interdepartmental and community engagement form the basis of community governance—bringing city and county agencies, schools, religious and nonprofit organizations, businesses, and residential communities together to communicate openly on how to improve the quality of life of citizens. This requires all stakeholders to meet regularly to discuss ongoing problems in the neighborhood, develop strategic plans to repair deteriorated neighborhoods, and establish goals for their future. (Reis, 2006, p. 11)

The police are only one of the many local government agencies responsible for responding to community problems as varied as traffic, litter, street lighting, or problem parks. Under a community governance model based on community policing principles, other government agencies are called on and recognized for their abilities to respond to citywide issues. Community-based organizations are also brought in to address issues of common concern. The support and leadership of elected officials, as well as the coordination of the police department and other municipal agencies at all levels, are vital to the success of these efforts. Organizational and cultural changes can take place in all of these agencies to promote proactive public service models based on the basic principles of partnerships and problem solving. (Chapman and Scheider, 2006, p.3)

#### Considerations for Cities Interested in Adopting Community Governance

- Start small with community governance efforts and expand them over time. Raise comfort levels with small wins.
- Do not think of community governance as a program, but rather as a philosophy and way of doing business.
- Nothing is ever good enough in a community; a community does not have a status quo. Cities must work toward perfection every day.
- Community governance should be spearheaded by city administrators and municipal department heads. These efforts require institutionalization of the philosophy and its activities, which transcend the ability and influence of any one city leader.

## **Element 1: Partnerships Among Municipal Agencies**

In community governance, municipalities take a collaborative, holistic approach to delivering services to the community. Municipal department staff members at all ranks and levels should not only be knowledgeable about the services provided by their colleagues in other city agencies, but also should work with each other and with the community to coordinate their responses to problems and to provide services. Municipal agency executives and their staff members may act as facilitators, consensus builders, and partnership builders in problem-solving efforts and decision-making processes. These efforts should focus on fostering inclusive processes that bring together diverse opinions and interests in the community and local government to concentrate on getting things done collectively. Municipal civil servants and elected officials—from city administrators to agency executives and their supervisory staffs—must be willing to provide resources, expertise, and time for their employees to develop strong collaborative relationships with other persons working in city government. The leaders in municipal agencies should encourage the employees they supervise to proactively address community concerns and they should hold employees accountable for their efforts.

### **Operationalizing Partnerships Among Municipal Agencies**

In practice, municipal agencies should work together to achieve the common good for the community. This concept, however, is often easier to express in theory than in practice. The reality is that often a city's leaders develop a vision for the community and its future, but each municipal agency has its own distinct mission and goals based on its competencies and role in local government. This can pose some challenges to providing a holistic approach to services because city agencies will clearly want to focus on the specific services they provide. Each agency's mission and goals, therefore, should support the city's overall vision.

While each agency should focus on delivering the services in which it specializes, agency leaders and their staff members must realize that agency activities, decisions, policies, and procedures do not exist in isolation, but rather affect the rest of local government. This is one of many reasons why there needs to be timely and substantive communication across city agencies. Another reason is that each agency has specific strengths and can provide specific services. Coordinating the services can prove to be an efficient and effective use of resources.

Communication among city agencies and coordination of activities are some of the first and easiest steps that municipal agencies can undertake in community governance. These efforts describe a relationship among city agencies; the next step is to move toward a partnership characterized by shared decision-making processes, the contribution of resources to address specific problems, and joint ownership of the results. Partnership activities require collaboration between municipal agency leaders and city administrators; both must view themselves and their colleagues as part of a city management team. These activities also require strong leadership and communication within municipal agencies—from executives to supervisors and their staff members and vice versa. Hence, partnerships require strong communication both horizontally and vertically within the city and its agencies' structures.

Within each agency, line-level staff members play an important role in fostering relationships and partnerships between municipal departments. For these reasons, municipal agency staff members should have an understanding of the services, expertise, and resources provided by others within the city and should be encouraged to collaborate with their colleagues from other agencies when working on broad issues. It is in these areas that the expertise of multiple departments will prove useful.

A rash of graffiti by teenagers in neighborhood parks, for example, should be an impetus for parks and recreation officials to work with other city departments to respond to the problem. Law enforcement, sanitation, and code enforcement officials, as well as youth authorities can bring their own insights, experiences, and expertise to the situation.

#### Characteristics of Partnerships Among Municipal Agencies

- Communication within the municipal structure
  - Two-way communication among municipal agency leaders and city administrators
  - Bottom-up and top-down communication within municipal agencies
  - Communication between staff members of various municipal agencies
- Coordination of municipal agency service provision
  - Ensure that large-scale efforts are planned and executed in coordination
  - Prevent duplication of services
- Collaboration of municipal agencies around complex, multidisciplinary issues in the community
  - Collaborative decision-making processes
  - Contribution of resources (e.g., financial, human, logistical, and technological) and willingness to shift resources when necessary
  - Implement solutions together by drawing on the expertise of agencies
  - Joint ownership of the results of problem-solving efforts

## Role of Leadership

City administrators' leadership is critical to getting municipal agencies to work in partnership with each other. The idea of collaboration in government must be stressed at the highest levels of leadership within the city, as well as encouraged among all city employees. The administrator should stress that the city's agencies and their staff members comprise a team that seeks to provide a comprehensive approach to local government services. He or she also must stress that there are no organizational "silos" within the city; departments must work together to address the needs of the community.

Within each municipal agency, the executive must also clearly stress the need for partnerships among municipal agencies and model that through his or her behavior. Within each organization, midlevel managers will be critical to the success of the department's and the city's efforts. These managers should be brought into the process early and engaged in these activities so they will be more likely to buy into the transition to community governance. Finally, the line-level officers are the ambassadors for this work because they are encouraged to work with other city agency employees and community stakeholders to address community issues and problems. These efforts clearly require the daily support of agency leaders.

#### Tips for Leaders Wanting to Strengthen Municipal Agency Partnerships

- Continually emphasize collaboration and model desired behaviors.
- Stress the importance of municipal agency partnerships with city staff members at all levels.
- Obtain buy-in and enlist support from midlevel managers.
- Make any needed organizational changes to support staff members' partnership efforts.

## Challenges to Implementation and Sustainability

Municipalities that want to develop stronger partnerships between municipal agencies can expect challenges as they make the transition to community governance. Some of the most pressing issues cities may face include poor relations between municipal agencies, unsuccessful past attempts at collaboration, and a lack of interest in developing partnerships. Cities should identify where these challenges are present and take steps to address these issues.

**Poor relations between municipal agencies.** In some cities, a few municipal agencies have a history of tense relations with other city departments. This may come from a perceived view that one agency and its employees have more resources at their disposal than other agencies or that an agency does not view itself as part of city government. These poor relations can also emerge from friction between municipal department heads that over time become a part of agency culture. Regardless of why these poor relations exist, they pose challenges to adopting the community governance philosophy. Here, the role of leadership is once again paramount. The city administrators set the tone for how municipal agencies do or do not work together. By stressing partnerships, modelling the behaviors, and rewarding partnerships, cities can begin to take steps to build and strengthen collaborative efforts.

**Unsuccessful past attempts at collaboration.** Some city leaders and staff members may view the move toward community governance with scepticism and they may approach these ideas with a “been there, done that” outlook. They may believe that they have undertaken some of these efforts in the past but for any number of reasons—such as political will or lack of funding—they did not continue down that path in the long term. For these individuals, it is particularly important to explain why the city is adopting the community governance philosophy and what efforts it is undertaking to ensure sustainability over time.

**Lack of interest in developing partnerships.** For some municipal agency staff members and their leadership, the idea of working in partnership to address community issues is new. For many, partnerships may be viewed as yet another task added to their workload. They may not see the purpose of these efforts or why they should engage in them. Furthermore, they may view building relationships and partnerships with their other city colleagues as taking them away from their other work responsibilities. This may particularly be the case with midlevel supervisors concerned about allocating resources to partnership activities, especially if it is not part of the city’s scheme for evaluating employees. Without midlevel managers’ support of their staff members’ partnership activities, these efforts face significant challenges. To address some of these challenges, city leaders should explain how community governance efforts can actually help city employees and the community they serve. (For a brief

listing of talking points, see the sidebar entitled “Why Should I Be Interested in Community Governance?” in Section I.) City leaders should also address the organizational barriers to developing partnerships. These may range from including “creating partnerships” as an objective in employee work plans to taking steps to hire and promote persons with a service orientation.

#### Tips from the Field: Building and Sustaining Partnerships among Municipal Agencies

- Avoid compartmentalizing city departments for policy development. When dealing with environmental matters or economic vitality, for example, make sure that everyone is at the table—even the least likely department—because these issues go well beyond one department’s focus. No initiative exists in a vacuum.
- Ensure that city administrators and department heads meet regularly. This provides opportunities for interconnectivity and a team approach to problem solving.
- Build relationships and sustain them over time. Ensure that all city departments have a place at the table.
- Stress with all city employees the importance of having conversations with fellow city employees from other agencies. Bring agencies together and let staff members get to know each other to help build trust.
- Market the municipal government team and its efforts to address community issues collaboratively.
- Maintain long-term support, share leadership, identify role models to bring other city employees along, and hire persons with a service orientation.

## Element 2: Partnerships with the Community

Community members are essential partners of municipalities that are committed to community governance. Along with individuals, other stakeholders include community-based and nonprofit organizations (e.g., faith-based organizations, issue advocacy groups, fraternal organizations, and service providers, and local elementary and secondary schools), community businesses, and individuals. They also include other municipal government agencies and agencies at the state and federal levels (e.g., state department of corrections, Federal Bureau of Investigation). Community stakeholders help municipal agencies determine priorities, and they contribute time and resources to addressing identified problems. When confronting neighborhood issues, local schools in particular can convey trust and credibility in the municipal government to residents while encouraging their involvement. By devoting their own resources, the community stakeholders show their commitment to working with their municipal agency partners. The community should be recognized for its efforts and also should also be held accountable, as should city government. This notion of dual accountability stresses that community safety and quality of life are the shared responsibility of the community and its local government.

## Operationalizing Partnerships with the Community

Municipalities engaged in community governance efforts develop partnerships with community stakeholders to address problems and enhance overall quality of life in the community.

### Examples of Community Partners

- Community-based and nonprofit organizations
  - Faith-based organizations, e.g., Salvation Army, churches, synagogues, and mosques
  - Issue advocacy groups, e.g., Mothers Against Drunk Driving (MADD) and domestic violence awareness groups
  - Fraternal organizations, e.g., Elks, college fraternities and sororities
  - Schools, e.g., elementary and secondary public and private schools, community colleges, vocational schools, and universities
  - Nonprofit organizations, e.g., Red Cross and Habitat for Humanity
- Community businesses
  - Companies of all sizes
  - News media
- Individuals
  - Persons who live in the community
  - Persons who work in the community
  - Community leaders
- Other government agencies
  - Other municipal agencies in the region
  - State government agencies
  - Federal government agencies

These partnerships with the community are similar in many ways to the partnerships previously described among municipal agencies. The move toward partnerships is characterized first by creating (where needed) and strengthening communication between community stakeholders and municipal government. As with partnerships among municipal agencies, partnerships with the community are characterized by joint identification of problem areas, collaboratively developing and implementing a plan to address the problems, and jointly owning the results of the efforts.

Partnership efforts with the community provide a vehicle through which local government can listen to the community and identify what community members think are their most pressing issues. To be successful, local government officials need to be open and honest, rather than defensive about the challenges facing the city and its neighborhoods. City leaders also need to engage a range of stakeholders that represent various interests in the community. This provides government officials with a balanced perspective of community views. Too often, cities rely on a small but active group of individuals to provide input. Community governance seeks to broaden these efforts.

and include comprehensive interests in problem-solving efforts. Community governance recognizes that local people want to be involved in what affects their daily lives and neighborhood—and it takes steps to encourage their involvement.

Community members are not passive actors in community governance; rather, they are expected to contribute resources to address problems and improve quality of life. Clearly, individual community members and even community organizations are not expected to bear the entire cost of working to resolve the problem. Instead, by investing some of their own resources to address a problem, the community, and not just the local government, has a stake in the outcome. Community members can bring a wide variety of resources, such as time, knowledge, skills, and money, to the table. These efforts need to be nurtured and sustained over time.

The process of developing and sustaining partnerships with community stakeholders helps local government officials in many ways: It helps them identify problem areas; it assists departments in identifying their strengths and weaknesses in providing services; and it provides local government employees with direct feedback from the public they serve. There are other benefits to partnerships, as well. Partnership efforts not only encourage the public to become more engaged with their local government, but also provide a vehicle for community education. Community members who partner with local government learn about their city and how municipal government functions. They learn who to go to when they experience various problems, and they become aware of the limited resources and the restrictions on activities that the municipal agencies face. Additionally, community members learn about activities that violate local ordinances, and they are more likely to report those violations when they see them, or to let their neighbors know about the ordinances. Partnership activities also stress that municipal departments are part of a city team that provide services. This can enhance the public's trust in various city agencies. Another by-product of partnerships with the community is an increased community capacity to deal with problems. Neighborhoods learn the skills they need to work together to take on important neighborhood issues. They understand what resources exist in the community and how they can be put to use (along with government resources). This knowledge gives the community the confidence and wherewithal to take actions independently where they can best address a problem and to work with local government to address other challenges.

#### Characteristics of Partnerships with the Community

- Two-way communication between municipal agencies and the community
- Coordination of municipal agency service provision with community stakeholders
- Municipal agency and community collaboration around complex, multidisciplinary community issues
  - Collaborative decision-making processes
  - Contribution of resources (e.g., financial, human, logistical, technological) and willingness to shift resources when necessary
  - Joint ownership of the results of problem-solving efforts

## Role of Leadership

In many aspects, the role of city leadership in developing and strengthening partnerships with the community is similar to the role it should play in building and sustaining those partnerships among municipal agencies. City administrators and municipal department executives must continually emphasize and model the behaviors they want to see from staff members of all municipal government agencies. They also need to cultivate and ensure that they have the support of midlevel managers. Their support and guidance of line-level staff members are at the core of developing partnerships. To get support from midlevel managers, some organizational changes may be needed, such as criteria for promotion and evaluation of employees.

There are also some distinct aspects to the role of leadership in building partnerships with the community. City leaders must use some of their own personal “capital” to get members of the community involved in community governance. Often, personally contacting community members will gain their participation. City administrators, the executives of municipal agencies, and many senior managers in the agencies have a wide variety of community contacts on which to draw.

Another area in which city administrators and their department heads need to assert leadership is in marketing the city team to the community. At community events, some members of city agencies are much easier to spot than others. Police officers, for example, are easily recognized by their uniform, and many citizens view them as a symbol of security for the neighborhood. Other city agency staff members may be present at these events but are not recognized as such. Even if they are recognized, some community members will still approach a police officer to discuss a problem, even one that is not traditionally in the officer’s purview (e.g., a complaint about a broken stove in front of a neighbor’s house for three weeks). For these reasons, city managers need to market the entire city team and build knowledge with the public about what each department does. These efforts reinforce the idea that the city departments comprise a team and that all have important contributions to make in

addressing community problems and maintaining and improving quality of life. These efforts also have the potential to motivate staff members to engage in community governance activities.

#### **Tips for Leaders Wanting to Strengthen Community Partnerships**

- Use personal capital to expand the set of community partners
- Continually emphasize collaboration, and model desired behaviors
- Stress the importance of community partnerships with city agency staff at all levels and market the city team
- Obtain buy-in and enlist support from midlevel managers
- Make any needed organizational changes to support staff members' partnership efforts
- Stress to the community its responsibility in addressing community problems and enhancing quality of life.

## **Challenges to Implementation and Sustainability**

Municipalities that want to develop stronger partnerships with community stakeholders can also expect challenges as they make the transition to community governance. Some of the most pressing issues cities may face include committing to the hard work of building partnerships, a lack of interest in partnerships among members of the community, and community concerns about the transition to community governance. Cities should take steps to identify and address these challenges.

**Building partnerships is hard work.** Developing partnerships and sustaining them over the long run is challenging. It is not an effort that municipalities can engage in periodically over time or only when they face crises and expect to succeed. Rather, this is an effort that must be continuous among municipal agencies. Developing partnerships requires time and effort from agency staff—time that some supervisors and staff members may feel would be better spent on other work. Similarly, it takes a lot of time and energy to educate the public about local government and to gather input into future efforts. These efforts, however, are essential to any agency wanting to adopt the community governance philosophy.

**Lack of interest among the community.** Community engagement in local issues tends to wax and wane. Community members tend to be more active during times of crisis and often are less active when they are satisfied with the current situation. This challenge can be quite difficult to overcome. Cities, therefore, should undertake a wide variety of activities to engage people from different backgrounds and interests. When cities always rely on a small group of persons, sustaining their efforts will be difficult because people get tired and burned out. Additionally, cities should look at how technology can help them engage the public while recognizing the limitations of this approach,

namely, that it excludes a segment of the population that is not technologically savvy. City leaders should also take steps to continually reach out to the neighborhoods and people who generally avoid participating in government.

**Community concerns.** Community members often become highly engaged when NIMBY (not in my backyard) issues come to their attention. For example, in some communities, transitional housing for persons returning to the community from prison is a highly controversial issue and often neighborhoods express concern that they are not getting a fair share of city resources compared to other neighbourhoods. Education efforts can help to counter both types of community concerns. These education efforts, however, may require cities to devote a significant amount of time to building a knowledge base on the issue. For these reasons, it is also important to engage community members from the outset when these decisions are being made. Community members can then better understand how and why decisions are made, and cities can build community support for their efforts.

**Another community concern focuses on personnel matters.** For some cities engaged in community governance, city employees become well-known in various neighborhoods. Community members feel that they work well with these individuals and would like to see them stay in the neighborhood. When these staff members are promoted, some community members may become upset that "their" city employee will no longer be working with them, and the neighborhood residents may be a bit apprehensive about working with someone new. City leaders sometimes need to step in and reassure community members that a personnel change does not indicate that they have abandoned community governance, but rather gives the staff member the chance to expand his or her skills.

#### Tips from the Field: Building and Sustaining Partnerships with the Community

- Build the expectation of developing partnerships into citywide practices, particularly in personnel decisions such as hiring and promotion.
- Get all “knees under the table” and build in inclusion from every group you can think of from the outset. This is time-consuming and requires the use of personal relationships to get people engaged, but it is worth the effort.
- Before making a significant change or taking on a large project, solicit the community’s input—including the naysayers—at the very beginning of planning efforts. Keep them informed throughout the process, including final results. Even if this slows things at the beginning, the implementation process can move faster because the city has gained buy-in from the community.
- Invest in relationships with the community. Although it takes a lot of time, it pays big dividends in the future.
- If voices are missing on an issue, personally seek out and invite stakeholders.
- Use personal connections and capital to encourage participation. Personal invitations from city administrators and department heads get better responses.
- Reach out and engage in meaningful conversations with the community. Understand why they are or are not engaged and determine their interests, needs, and resources.
- Continually cultivate community partners. Find new partners and strengthen existing partnerships.
- Broaden collaboration efforts beyond one or two partners, otherwise the efforts cannot succeed.
- Promote the concept that community members also have a responsibility to take steps to address community problems and enhance quality of life.
- Identify the values of the community, challenge the community members to play their role, and have them challenge the government to improve its role and be a better partner.
- Share information with the community. Give community members access and a voice, as well as a way to contribute their resources
- If community participation is not strong, do not blame the citizens. Take another look at the city’s efforts and try to modify them. For example, consider “bring your child” activities in order to facilitate participation by parents of young children.
- Pay attention to the people who show up and actively engage in partnership and problem-solving activities. They have put in the sweat equity and deserve recognition for their efforts.
- Market the city team and educate the community about the roles and responsibilities of various departments. This builds the credibility of city agencies and increases community knowledge.

## Element 3: Collaborative Problem-Solving Efforts

Municipal agencies engaged in community governance develop collaborative relationships with each other and with the community they serve. These relationships and partnerships can be leveraged for problem-solving activities that focus on specific community problems that run the gamut of local government responsibilities, such as public safety, public health, environmental protection, business development, and housing issues. Collaborative problem-solving efforts provide a vehicle by which local municipal agencies can identify existing and emerging community concerns and develop collaborative efforts to address them. Collaborative problem-solving efforts bring the community into local government decision-making, and, in doing so, educate community

members about how government operates and the issues facing the city as viewed by a broad range of community stakeholders. Collaborative problem solving also shares the responsibility of community quality of life and public safety between municipal government and the community. Each entity has its own roles and responsibilities, as well as specific competencies and resources that can be brought to bear on complex community problems.

## Operationalizing Collaborative Problem-Solving Efforts

Collaborative problem solving is an analytic process for identifying and analyzing specific problems and then, developing and evaluating responses to the problems. The SARA model (scanning, analysis, response and assessment) is one example of a problem-solving process. An analytical process is essential to problem-solving efforts because it helps stakeholders distinguish between symptoms of a problem and root causes, thereby understanding the problem. Through problem solving, stakeholders try to identify and work on root causes of problems. These activities should not be limited to those who hold management positions in municipal government. Cities engaged in collaborative problem solving encourage staff members at all levels of municipal agencies to engage in this process.

Collaborative problem-solving efforts give city employees a broad vision of their job so they can view and understand problems as they are experienced by community members who live and work in the area. Municipal agency staff members engaged in collaborative problem-solving efforts have the benefit of working closely with the community and developing a better understanding of what various community stakeholders see as existing and emerging issues that need to be addressed, and what they want their city to be like in the future. The problems identified in this process often may not always be the same as the problems that city officials have noted. Community members may bring new issues and problems to the attention of city officials. By working collaboratively with the community, city officials can also begin to identify priorities in various neighborhoods. These priorities may or may not be what city officials expect to hear from community stakeholders.

Once problems have been identified jointly by municipal agencies and community stakeholders, they need to choose the problems they want to work on first. This decision can be quite challenging in communities where there are a number of issues that persons are highly interested in addressing. It is particularly important, therefore, to enumerate the reasons for working on a specific problem first. Additionally, it is critical for all stakeholders to note that complex community problems are not one-dimensional, but rather touch on many areas, a number of which were likely already identified by stakeholders. For example, many communities experience high rates of recidivism of persons returning to the community after release from jail. If this is an issue a community

wants to address, a number of related problems will be touched on, such as mental health services, substance abuse services, education, employment, housing, and family matters.

It is also important that all stakeholders know that collaborative problem solving is not a single, one-time effort and that other problems will be tackled over time. Agencies can also work on multiple issues at a certain point, given agency and community interest and resources. When communities identify emerging issues, they may want to take steps to address them before they reach a crisis level. Additionally, cities planning various activities, such as major street improvements, will want to engage the community in identifying and making plans to mitigate potential problems resulting from the work. Efforts to engage citizens and seek their input can help projects move forward.

After municipal agency and community stakeholders decide which issues they will work on first, they conduct a thorough analysis of each problem. For this process, information and data from both municipal agencies and the community will be important. Community data may take the form of anecdotes, personal experiences, or more systemized data. City agencies collect a wide variety of data that can prove useful to the process of analyzing a local problem. Police agencies that utilize geographic information systems, such as mapping or CompStat, may find those resources and technologies helpful. Agencies that have begun to take steps to bring their various citywide technologies and resources together will find that those efforts prove exceptionally useful in collaborative problem solving.<sup>23</sup>

Critical to any analysis effort is information-sharing. For collaborative problem solving to be successful, municipal agencies must be willing to share their data with their city partners and with the community and vice versa. Clearly, all data-sharing should be conducted in accordance with local, state, and federal statutes; some of these may place restrictions on the type of information and with whom data can be shared. Municipal legal departments can clarify these regulations and convey the restrictions to community stakeholders. This transparency can help community members understand why specific, personalized information cannot be shared, for example.

Once stakeholders have utilized available data and information to develop a broad understanding of the problem, they develop and later implement specific plans to eliminate or reduce the problem. These implementation plans may call on both community stakeholders and the local government, to commit time and resources to address the problem.

Problem-solving activities should be evaluated to determine their success and whether stakeholders should continue or end specific efforts. When results of

<sup>23</sup> For further information about how to bring together various municipal data for a comprehensive approach to analyzing problems, see the discussion of Baltimore, Maryland's CitiStat program in Perez and Rushing, 2007.

an effort are not as successful as hoped, problem-solving models encourage stakeholders to reconsider their analyses and conduct further studies or implement new activities to address the problem.

## Role of Leadership

### Characteristics of Collaborative Problem-Solving Efforts

- Using a systematic process to collaboratively:
  - Identify community problems
  - Analyze the causes of those problems
  - Develop and implement plans to solve or reduce the problems
  - Evaluate the outcomes of those efforts
- Leveraging the resources, knowledge, and expertise of municipal agencies and community stakeholders
- Focusing on improving outcomes and problem resolution.

City administrators and municipal department executives should encourage agency staff at all levels to use problem-solving processes with the community and also within their own agencies to address specific problems. The more municipal agency staff members use these tools and skills, the more they will become a part of everyday activities and, hence, become institutionalized in the agency culture.

City and agency leaders also should cultivate, and ensure that they have the support of, midlevel managers. Their support and guidance of line-level staff members are at the core of developing and sustaining collaborative problem solving. As discussed in the other elements, to gain support from midlevel managers, some organizational changes may be needed in the criteria for promotion and evaluation of employees. These changes would stress the importance of problem solving.

### Tips for Leaders Wanting to Strengthen Collaborative Problem-Solving Efforts

- Continually emphasize collaboration and model desired behaviors within the city and its agencies, as well as with the community
- Obtain buy-in and enlist support from midlevel managers
- Make any needed organizational changes to support staff members' collaborative problem-solving efforts
- Stress to the community its responsibility in addressing community problems and enhancing quality of life.

## Challenges to Implementation and Sustainability

Municipalities that want to have strong collaborative problem-solving efforts between municipal agencies and the community can expect challenges as they make the transition to community governance. Some of the most pressing issues cities may face include a lack of interest by the community and technological challenges.

**Lack of interest in the community.** A lack of interest within the community poses challenges to collaborative problem solving, just as it does to developing partnerships within the community. Interest in problem solving may vary over time depending on the issues that are being addressed.

Just as when the city develops partnerships, it also should take steps to engage a wide variety of stakeholders in collaborative problem-solving efforts. City officials should also stress to the community that these efforts are not simply processes to gain input. Rather, collaborative problem solving implies that municipal agencies and the community collaborate through the entire process of problem solving. This idea will be new for some members of the community and it may take some time for them to get used to the fact that they are not only expected to voice their opinions, but also to contribute to improving a situation or solving a problem. This transition from passive to active participation is a benefit that cities can stress to show that the city is engaged in a collaborative effort to be responsive to community needs.

**Technological challenges.** Collaborative problem-solving activities require that municipal agencies contribute their relevant information to analysis activities. This allows for a an understanding of a much broader picture of the problem. The tools used by various municipal agencies are not always interoperable, nor are there mechanisms through which information can be shared or combined. These technological problems can affect the efficiency and sometimes even the quality of information that can be analyzed for problem-solving purposes. For these reasons, cities engaged in collaborative problem solving need to develop processes through which municipal agencies can share information with each other. Cities should work through any technological challenges that make these activities difficult to undertake.

#### **Tips from the Field: Building and Sustaining Collaborative Problem-Solving Efforts**

- Focus on the process of solving problems. It takes some time, but it helps city officials make better decisions.
- Make sure that education opportunities are available when bringing the public into collaborative problem-solving efforts.
- Take information from all advisory groups and then focus on moving the community to adopt a broader view of complex issues. This way, one interest group does not sway the decision making.
- Gather data for analysis from all stakeholders. Be sure to use relevant data from all municipal agencies as well as data from the community.
- Constantly review and evaluate what you are doing and ask: "Is there anything we need to do to work together better to serve the city?"
- Information-sharing is essential, yet cities must be sure to share information within the confines of local, state, and federal laws.
- Invest in technological resources that can bring data from municipal agencies together. The ability to have a broad range of data for analysis greatly benefits the problem-solving process by creating a broad understanding of the problem.
- The goal is to create a sustainable process with ongoing communication. In this way, problem solving is also a systematic approach to ongoing dialogue and evaluation.

## **Element 4: Organizational Change**

Any city or town that actively seeks to implement community governance will need to adapt its organizational structure, personnel practices, and approach to management and information technology to this new philosophy. Organizational changes tend to be slow and incremental and occasionally face setbacks because of a lack of institutionalization. When organizational changes are made in support of community governance and sustained over time, however, municipal agency executives and their staff members can succeed. Essential to this success is consistent, steady leadership by the city executives and their municipal department heads. Through their guidance, leadership, and modelling of community governance over time, as well as their steps to remove organizational barriers to creating partnerships and engaging in problem-solving efforts, community governance can become the municipality's way of doing business.

### **Operationalizing Organizational Change**

Changing government organization is essential for agencies adopting the community governance philosophy. In community governance, organizational change focuses on agency policies, procedures, structures, and cultures that inhibit the development of partnerships among municipal agencies and the community and hamper the ability to engage in collaborative problem solving. Agencies adopting community governance should pay particular attention to organizational change needed in the organizational management, organizational structure, personnel practices, and technology and information systems of the city and its departments.

**Organizational management.** Cities engaged in community governance must look at a number of aspects of organizational management to see if they support or hinder agency staff members' ability to engage in partnership and problem-solving activities. At a minimum, cities should consider the mission and vision, agency evaluations, resources, accountability, transparency, and devolution of authority of their organizational management.

Cities engaged in community governance activities should have a shared vision for the city that supports the philosophy and its focus on partnerships and problem solving. This common vision is the basis for all city activities. Furthermore, each city agency's mission should support the city's shared vision and should highlight how that agency's expertise contributes to reaching that goal. All city agencies should strive to improve quality of life through the provision of services. Some communities take this one step further and view themselves as community builders. They strive to provide the best services they can through an effective use of time and money. They examine their efforts according to whether they have met the changing dynamics of the community they serve. Community governance agencies also should be sure that evaluations of agency efforts are consistent with what is being asked of them under this philosophy.

Community governance requires municipal agencies to think about their activities and resources in a new light. Community governance requires a willingness to share resources among municipal agencies. It necessitates the view that through a give-and-take process the city can direct resources to those parts of the city and those topical areas that need to be addressed. It encourages agencies to be flexible and agile in their approach to providing services and using resources such as financial, logistical, human, and technological assets. Community governance requires a commitment to these resources to sustain efforts over time. In many cities, community governance may also precipitate a new examination and approach to planning and resource allocation.

Community governance seeks to make municipal agencies and the community accountable for their activities. This involves a shift in perspective in municipal agencies who must be concerned not only about specific services that they deliver to the community, but also about the whole product—the community's overall well-being. Additionally, municipal leaders must stress that the government alone cannot address complex social problems successfully. Rather, the community's help and expertise is needed through problem-solving and partnership efforts. The community, along with the municipal government, should be held accountable for addressing community problems and improving the quality of life.

Cities adopting community governance should also take steps to make the city and its agencies more transparent to the public. Characteristics of transparency include a willingness to share relevant information with the public, to explain decision-making processes and agency policies and procedures to the public, and to engage the community in developing these processes. Transparency helps to build trust between parties. Transparent efforts, therefore, will help build trust both among municipal departments and between municipal agencies and the community. Another measure of transparency is in sharing evaluations and findings with the public, regardless of how positive or negative they are toward municipal agencies.

In some cities, organizational structures may have to adapt to meet the needs of community governance which, in many aspects, is characterized by devolution of authority, responsibility, and decision-making capabilities. Line-level employees are asked to take on more responsibilities and work with other city agencies and community stakeholders to address community problems. This gives line-level employees ownership of various community problems. Cities also may need to examine how information is shared and communicated both horizontally and vertically within the organization.

**Organizational structure.** A number of cities engaged in community governance efforts see the need to focus on delivering services through various districts or neighborhoods. This geographic division of the city and the delivery of city services have allowed cities to focus their efforts more directly in specific neighborhoods, as staff members are assigned to those areas and develop an in-depth knowledge of the neighborhood and its concerns over time.

**Personnel practices.** A number of personnel practices can enhance or inhibit a city's ability to implement and institutionalize community governance efforts over time: recruitment, selection, hiring, and promotions; personnel evaluations; supervision; and training. Municipal agencies may need to take a number of steps in these areas to make their personnel practices more congruent with the community governance philosophy.

To the extent possible, agencies should look to "select-in" persons with a service orientation who support the community governance philosophy, rather than merely "selecting out" the so-called bad apples. Agencies should look for persons who have conflict-resolution skills, are compassionate, and are proficient at multitasking. These efforts at attracting service-oriented candidates may involve developing new recruitment techniques and taking steps to brand the city and its agencies as a community governance entity.<sup>24</sup> Those individuals who are role models in their agency and successfully espouse the community governance philosophy should be promoted within the agency. Community members also can play important roles on hiring and promotional boards.

<sup>24</sup>For further discussion and examples of creative ways to recruit service-oriented police officers and agency branding efforts, see Scrivner, 2006.

Personnel evaluations and supervision are also critical to institutionalizing community governance. Staff members' annual work plans and evaluations should support the transition from traditional work to community governance. Their problem-solving and partnership efforts should be among the areas evaluated and persons who have done exceptional work should receive formal recognition. This can help to ensure that midlevel managers support staff members who are engaging in community governance efforts. Supervisors' encouragement and support of problem-solving activities and partnerships will have an effect on how the staff members view community governance. The goal is to convince employees that community governance is the city's new operating philosophy—not a short-term program.

Training is often overlooked in personnel practices. City administrators and municipal department heads should recognize that the transition to community governance requires employees to engage in new activities and that some staff members may be unsure of, or uncomfortable with, these new expectations. All current staff will not have the skills for community governance activities. Training, therefore, is an essential aspect of the transition to community governance. Clearly, for new hires, community governance training should begin with the initial training they receive when they join a municipal agency, and it should continue over time with in-service and continuing education training. For existing hires, community governance training ideally should start before the agency begins to adopt the philosophy.

Community governance training should involve problem solving, conflict resolution, consensus-building, public speaking, partnership-building, and specific training about the services offered by all municipal agencies. Pilot projects and small learning groups can be helpful to staff members who are being introduced to these concepts and small successes can help them build their confidence to undertake these activities with the community. Joint training or cross-training among municipal agencies in these topical areas can help reinforce the goal that municipal agencies comprise a city team that provides services to the community. It also helps city employees develop relationships with staff members from other city departments. Finally, cities should support the professional development of their employees and help them developed the advanced skills essential for community governance.

**Technology and information systems.** Municipal agencies use a range of data systems that may or may not allow for data to be shared easily or co-located for problem analysis purposes. Agencies engaged in community governance should take steps to ensure that technology and information systems can be used to share relevant information between departments. City administrators and municipal agency leaders should also stress that information-sharing is an essential aspect of collaboration and community governance. Agencies,

therefore, may need to develop new mechanisms for information-sharing or may have to invest in new technology. Agency leaders should understand the strengths and limitations of their data systems and work together to try to bring data together in a timely, accurate fashion.

#### Characteristics of Organizational Change

- Identifying city and agency policies, procedures, structures, and culture that are not congruent with the community governance philosophy
- Removing or minimizing these obstacles
- Establishing city and agency policies, procedures, structures, and culture that support building and sustaining partnerships and collaborative problem-solving activities
- Ensuring that city agencies are flexible and agile and therefore capable of responding to community problems and planning for the future

## Role of Leadership

As discussed throughout this document, leadership is essential to implementing and sustaining community governance efforts, and leadership in bringing about organizational change is no different. Both city administrators and agency executives should foster support of problem solving and partnerships within municipal agencies and the community. The most important of these activities is recognizing and addressing obstacles to community governance across the city and within its departments. City and agency policies, procedures, structures, and culture should support, not contradict, the community governance philosophy. These efforts also require city leaders to work with collective bargaining units to address their concerns and questions and obtain their support for this approach to local government. The same steps should also be taken with political leaders, who will come and go over time. Leadership in the area of organizational change, as with the other elements, should be continuous and clear.

#### Tips for Leaders Wanting to Strengthen Organizational Change

- Recognize and take timely steps to address obstacles to developing and sustaining partnerships and problem-solving efforts among city staffers at all levels. Where challenges persist, clarify the reason for their continued existence.
- Engage collective bargaining units in discussions about community governance and seek their support for problem-solving and partnership activities.
- Seek support for community governance efforts among elected leaders, where applicable.

## Challenges to Implementation and Sustainability

As discussed previously, municipalities that want to adopt and sustain community governance are faced with the challenge of making needed organizational changes within the city and its departments to support partnership and collaborative problem-solving activities. Specific challenges may also include the allocation of resources and political support.

**Allocation of resources.** As staffing and money decrease in many cities, partnering among municipal agencies becomes more difficult. Departments become more territorial and look to protect and improve their agencies' resources. These challenges pose a serious problem to long-term cooperation; therefore, it is important for all agencies to consider how to share resources in a way that is most beneficial for the community.

**Political support.** Political support can help municipal agencies sustain community governance efforts. This support may be in the form of dedicated resources or simply a clear statement of support. Community governance may not be popular among some city officials because community members who have problems may seek out municipal agency staffers, rather than their elected representatives. Elected officials may view city employees as overstepping their boundaries by working directly with community members. For these reasons, it is important to educate elected leaders about how community governance works and why it should be sustained and advanced.

**Lack of consistent leadership.** In many cities, the tenure of municipal agency executives is not long enough to make significant, long-term changes to their agencies. Leadership changes are often accompanied by a change in priorities, as well, dictated from new political leadership or a change in political priorities. Regardless, when consistent, clear, reinforcing messages about the importance of collaboration and problem solving are lacking, it becomes more difficult to institutionalize a philosophy. The more time an executive has to work with staff members and stress the philosophical change through words and actions, the more likely the community governance philosophy will withstand changes in leadership.

#### Tips from the Field: Building and Sustaining Organizational Change

- Recognize that everyone will not embrace community governance. Slowly weed those people out of the department and replace them with new recruits who espouse the community governance philosophy.
- Pick the right top leaders. They need to drive the philosophy down into the organization. Make sure that supervisors fully support the philosophy.
- The transition to community governance is like a long-distance marathon. It takes longer than any one leader's tenure to institutionalize the philosophy. City administrators and agency executives need to develop long-term outlooks.
- Make as many decisions as possible based on research: hire a research analyst who looks for best practices, conduct community surveys and strategic planning, and identify and take steps to minimize obstacles.
- Community governance requires an accountability mechanism because a lack of geographic assignments across city agencies makes accountability difficult.
- Determine what information about service availability needs to be provided to all new employees and provide it in a well-organized orientation or in trainings.
- Elected officials need to support this method of delivering services for it to become institutionalized. Community governance cannot be sustained without political support, which must be cultivated continually as officials retire from public service and new candidates are elected to positions in city government.
- Stress the benefits of crime-and-disorder-prevention activities.

## Section III: Examples from the Field

This section describes how five communities—Anaheim, California; Irving, Texas; Longmont, Colorado; Prince William County, Virginia; and Wichita, Kansas—have taken steps to adopt the community governance philosophy. It demonstrates how the elements discussed in Section II have been applied in these municipalities. This section also shows the variety of activities that cities can undertake when they make the transition to community governance.

### Anaheim, California

Anaheim, with a population of about 340,000, is California's 10th largest city. It is located in Orange County in Southern California, and is well-known for being the home of Disneyland. Anaheim operates under a council-manager form of government. The city is governed by a mayor and four city council members, who are elected at large to 4-year terms. They serve as the city's policymaking body. A city manager, the chief administrative officer of the city, is appointed by the Anaheim City Council and serves as its pleasure. The city manager's responsibilities include overseeing and hiring Anaheim's municipal agency directors and preparing and overseeing the city budget.

#### Views from the Front Lines: Community Governance in Anaheim

Our transition to community governance was really an awakening to the fact that the collective we of the city departments and the community were all in the soup bowl together. Each party has an equal place at the table, which requires full participation.

– Craig Hunter, Deputy Chief, Police Department

Community governance breaks down organizational and communal barriers by enlisting everyone to work together as a team in solving problems in neighborhoods.

– Joe Reiss, Captain, Special Operations, Police Department

City departments have traditionally been organized by function with departments viewing their roles as single-purpose. A more effective, coordinated interdepartmental response occurs when missions and resources are shared. This moves the organization towards community governance.

– Steve Swaim, Superintendent of Community Services

The role of government, when it comes to neighborhoods, is really to bring stakeholders together.

– Tom Wood, Assistant City Manager

### Origins of Community Governance in Anaheim

Anaheim's transition to community governance has been described in a number of Department of Justice articles and conferences.<sup>25</sup> The city is a well-known leader in the adoption of community governance. Its community governance efforts emerged from a hybrid of neighborhood services and community

<sup>25</sup> See Reiss, 2006 and Swaim et al, 2006.

policing activities spearheaded by the city manager's office and the police department. The community governance philosophy also results from city departments that recognize and participate in the practices of municipal government as a convener, consensus-builder, and joint problem-solver.

**Community policing and community governance.** In the mid-1990s, community policing in Anaheim was only the responsibility of persons assigned to a specialized section of the agency. During the same time, the city experienced significant gang, drug, and vandalism activities in a densely populated apartment neighborhood. A sergeant and six community policing officers, tasked with addressing these problems, focused on traditional enforcement tactics to decrease crime. Although they met with some successes—arresting between 30 and 40 persons per month within the neighborhood—crime did not decrease. A year into these efforts, the department acknowledged that the situation in the neighborhood had not improved, prompting the department to recognize that it needed the help of its colleagues in other city agencies to alleviate crime problems. Thus, a team of city agencies—including the city manager's office, police, code enforcement, public works, utilities, and the city attorney—was formed to work collectively with the neighborhood to address crime. Through a variety of efforts, such as prohibiting street parking, strictly enforcing code regulations, and increasing street lighting, the neighborhood saw crime decrease by almost 80 percent.<sup>26</sup>

<sup>26</sup> For a further discussion, see Reiss, 2006.

The success of that effort resulted in more changes in the Anaheim Police Department. There was recognition that placing community policing in a specialized section of the agency contributed to a duplication of efforts and lack of communication within the department. For this reason, the department began to implement and stress the community policing philosophy across the agency. Community policing no longer remained the responsibility of a few officers within the department.

**City commitment community problem solving.** Anaheim has become a facilitator of community dialog by connecting residents and other community stakeholders, including schools, businesses, and faith-based and nonprofit organizations. Consistent with the city council's desire to improve the quality of life in neighborhoods, early facilitation efforts were pioneered through the city manager's office in 1992 by implementing the city's "Anti Gang-Drug Strategy," which called for the city to coordinate the community's response to gang and drug issues. Although the city was committed to carrying out numerous activities as a partner (including gang prevention, diversion and suppression, code enforcement, etc.), its major role was to provide guidance to the other stakeholders in contributing their ideas and services in a collaborative effort to address gangs and drugs. During this process, Anaheim's role changed from that of a lone problem solver to that of a convener and consensus-builder. The

city also realized that the attack on gang and drug problems was best made neighborhood by neighborhood, through organizing and enabling the creative and innovative problem-solving abilities of residents, apartment owners, local school principals, and faith organizations. In 1995, the city reorganized its antigang/drug facilitation efforts and created a new Neighborhood Services Division in its Community Services Department.

### **Transformation to a coordinated community governance organization.**

The transformation to an organization that was truly coordinated using a community governance approach occurred early in 2001. The police department's shift over the years in community policing—utilizing a multidepartment process and engaging community members—was yielding results, as was the city's neighborhood services operation. Through the guidance of the city manager and department heads, a 1-day retreat generated ideas on more effective ways departments could work together, avoid duplication, and engage the talents of city staffers and community stakeholders in community problem solving. Charged with implementing these ideas, city division heads crafted and implemented a "Neighborhood Improvement Plan" to utilize the community problem-solving experience gained from community policing and neighborhood services activities during the past decade. Using a community governance approach was the foundation of this plan.

## **Key Aspects of Community Governance in Anaheim**

Important components of the newly-crafted Neighborhood Improvement Program plan were the adoption of a decentralized community policing model and the division of the city into four policing districts. Each district was assigned a team anchored by a police lieutenant serving as district commander (DC). The DC could marshal police resources as a department priority and serve as the key police manager for interaction with district residents and other community stakeholders. Also, a sergeant and four community policing officers were assigned to each district team. Other city department administrative and mid-managers, including representatives from code enforcement, the city attorney's office, planning, public works, utilities, fire, community development, and community services were assigned to serve on the four teams. In addition, local school principals were seen as vital members of each team. The orientation of the team evolved from a "policing district" team to that of a "neighborhood services district" team.

To provide ongoing community stakeholder input, permanent neighborhood councils were created in each district. The neighborhood councils consist of community stakeholders. In Anaheim, stakeholders (other than the government) are identified as representing six groups: residents, apartment owners, community nonprofit organizations, the faith community, schools, and the business community.<sup>27</sup> The efforts of these councils are reported in

<sup>27</sup> See Swaim et al, 2006.

<sup>28</sup>For further information see [http://www.anaheim.net/comm\\_svc/neighborhood/about.htm](http://www.anaheim.net/comm_svc/neighborhood/about.htm) and click "District Neighborhood Council Newsletter."

<sup>29</sup>For an example of a Neighborhood Improvement Project Action Plan, see City of Anaheim, 2003.

<sup>30</sup>Reiss, 2006, p. 10.

quarterly newsletters posted on the Anaheim Neighborhood Services Division web site.<sup>28</sup> Other city activities include planning efforts coordinated by the Neighborhood Services Division for specific neighborhoods where community stakeholders and members of the district teams meet to identify ways to improve their neighborhood. This process helps residents create a vision of what they would like their neighborhood to be and identifies actions that will achieve the vision, responsible parties to be involved (i.e., city government, the community, or both), and ongoing updates of actions.<sup>29</sup> The police department's DCs also meet quarterly with community stakeholders to gather feedback and input about the department's services. The four neighborhood services district teams have become part of a decentralized government structure and part of the service delivery system. This decentralization allows district teams to work collaboratively with the community to address problems and take proactive efforts to enhance the community's quality of life. The collaborative nature of government has been institutionalized through the neighborhood council monthly meetings in which the district team discusses issues with its respective neighborhood council. As a district team, city staff members and their school colleagues brainstorm ideas and discuss resources, skills, and knowledge that they use to address community issues. They also develop strategic plans for improving quality of life in neighborhoods that are identified as severely "challenged," that is, neighborhoods plagued by extensive socioeconomic problems that affect basic neighborhood livability. Long-term improvement action plans have been developed by the district team with input by the neighborhood's stakeholders. Within these neighborhoods, yearly surveys gather ongoing information about how effective efforts have been and how residents view the quality of life in their neighborhoods. Combined with police and code enforcement statistics, these surveys are critical in measuring the progress of important outcomes.

In addition, the teams discuss and work on other issues identified as problematic across the district. The district teams use the following principles to guide their work:

- "Use the expertise of all city departments in a coordinated effort to improve the liveability of Anaheim's neighborhoods.
- Assist severely deteriorated neighborhoods, as well as those beginning to show signs of decline, by developing a strategic plan to improve the quality of life in these areas.
- Ensure active participation by all neighborhood stakeholders, including single-family home residents, property and apartment owners, tenants, school and church officials, business owners, and city employees.
- Work with neighborhood stakeholders to create a vision of what the neighborhood can achieve in becoming a high-quality place to live"<sup>30</sup>

**Fostering neighborhood leadership and sustainability.** Another example of the city's community governance efforts is its Neighborhood Leadership Academy, held every 2 years. The academy's goal is to provide community members with the knowledge, skills, and tools needed to exert leadership and facilitate efforts to improve life in the neighborhood. Topics covered in the leadership academy include why the participants' leadership is needed, interpersonal skills and goal-setting, conflict resolution, cultural sensitivity, managing meetings, decision-making and consensus building, public speaking, presentation skills, understanding local government, and community resources. The academy also includes project assignments and presentations on actual hands-on issues encountered by neighborhood leaders. These project assignments utilize the skills and competencies learned by participants. Following a graduation ceremony, participants are recognized by the city council.

## Irving, Texas

Irving is a city of approximately 210,000 people located in the Metroplex (Dallas/Fort Worth area) in North Texas. The city operates under a council-manager form of government, with eight council members and a mayor serving as the policy-making body. The council members and the mayor are elected to 3-year terms. Five city councillors are required to live within specific geographic boundaries within the city, while the other three members can live anywhere within the city. A city manager, appointed by the Irving City Council, serves at its discretion. The city manager is responsible for overseeing and hiring municipal agency directors.

### Views from the Front Lines: Community Governance in Irving

Everyone solves problems together. The stakeholders are city agencies and the community. We, as city employees, facilitate this process.

– Teresa Adrian, Environmental Services Manager, Inspections Department

In community governance everyone—the local government and the community—is accountable to the whole product rather than a portion of it.

– Larry Boyd, Chief, Police Department

Community governance is government in its simplest form. It is incorporating and identifying needs and mirroring those to resources. It is government defined from the bottom up—from the citizens up to the government.

– Gilbert Perales, Assistant City Manager

## Origins of Community Governance in Irving

The City of Irving recently began to take steps to transition to the community governance philosophy. The impetus comes from several areas. First, it comes from persons working in city administration and from municipal agency heads who believe that agencies should be working together to address city issues. Community governance is also emerging from the police department's commitment to advancing its community policing efforts. Finally, the fundamentals of community governance have been expressed in the city's 2006 strategic plan, which was developed through a collaborative process.

<sup>31</sup>The Community Policing Consortium was a partnership of five of the nation's leading law enforcement organizations: the International Association of Chiefs of Police, the National Organization of Black Law Enforcement Executives, the National Sheriffs' Association, the Police Executive Research Forum, and the Police Foundation. From 1994 until 2006, the Consortium was administered and funded by the U.S. Department of Justice Office of Community Oriented Policing Services. The Consortium provided community policing training and technical assistance to local law enforcement agencies and their communities.

<sup>32</sup>This process, called the Executive Blueprint Process, encourages participants to examine the planning and implementation of policies by focusing on the following areas: assessment, political support, community outreach, resource considerations, training needs, agency directives, and employee and labor relations.

**Community policing and community governance.** In recent years, the Irving Police Department took a numbers of steps to enhance its community policing efforts. Some of these efforts were taken with assistance from the Community Policing Consortium.<sup>31</sup> In 2005, the Irving Police Department hosted a "community engagement" and later had officers participate in a train-the-trainer session on community engagements. Community engagements are problem-solving sessions in which the police and a range of community stakeholders (e.g., residents, community organizations, other municipal agencies, and businesses) within a specific geographical area learn about and apply the SARA model of problem solving (scanning, analysis, response and assessment) to specific areas' community problems. The train-the-trainer sessions educated officers about how to facilitate community engagements effectively and provided the agency with a trained cadre of officers who are comfortable conducting community-police problem-solving sessions and are able to coach other members of the department in becoming more effective community policing officers. This training is now conducted internally by trained officers. Also during 2005, the department held a working session about how command staff can better support and advance the community policing philosophy.

As the police department took steps to enhance its community policing practices, other city officials saw that community policing has far-reaching implications not only for the police department and its community partners, but also for all of city government. They increasingly viewed the community policing model as a catalyst for changing the way the city governs. Hence, in late 2005, city departments participated in a 1-day training/workshop conducted by the Community Policing Consortium to guide them through planning community policing and community governance efforts and to identify organizational issues that can thwart these efforts.<sup>32</sup> This helped to set the stage for the city's community governance initiative.

**Strategic planning and community governance.** Some of the impetus for adopting community governance in Irving has also emerged from the city's strategic planning process. The city's 2006 strategic plan was developed with the

input of elected leaders, city staff, and community members. The plan sets forth the course for Irving's future by identifying the 10 goals for the city:

1. Promote excellence in land use and the image of Irving's built and natural environment.
2. Nurture and promote vital, vibrant neighborhoods.
3. Cultivate an environment conducive to strong, successful economic development to enhance and diversify Irving's economic base.
4. Set the standard for a safe and secure city.
5. Promote and support diversity in the community.
6. Promote effective communication among all members of the community.
7. Promote excellence in Irving's cultural, recreational, and educational environments.
8. Set the standard for sound governance, fiscal management and sustainability.
9. Enhance and sustain Irving's infrastructure network.
10. Become a successful, environmentally sustainable community.<sup>33</sup>

<sup>33</sup> See City of Irving, 2006.

Many of these goals involve strategies that require collaboration across municipal agencies and with the community as well as problem-solving activities. These efforts also sometimes require organizational changes, or reorientations, within local government. Such strategies from Irving's 2006 strategic plan include the following:

- Initiate neighborhood revitalization
- Develop a brand strategy for the city
- Decrease crime throughout the city by providing community, problem-oriented policing targeting specific areas of concern
- Build problem-solving partnerships in the community that result in the positive perception of police services and resident perception of safety in their neighborhoods
- Develop and implement a Public Safety Plan, blending its objectives with overall city strategies
- Enhance communications with city employees
- Use team-oriented interdisciplinary groups to address city priorities
- Improve communication between the city and educational institutions, faith-based organizations, and the business community
- Develop government curricula/programs for all students to promote learning and interest in Irving's city government

- Institute a holistic customer-service philosophy throughout the organization
- Develop an outcome-oriented budget approach
- Increase employee training in targeted areas such as ethics, supervision, customer service, and leadership development
- Develop partnerships/relationships with other cities and governmental entities

## From Planning to Implementation: First Steps

With the city's clear commitment to community policing and the adoption of the strategic plans, city employees had clear expectations not only about what they needed to work on during the next 3 to 5 years, but also how they should work on those issues. The city's management team felt that the focus should be on taking small steps and earning successes with them, rather than trying to adopt overly ambitious plans hastily that could not be accomplished realistically and could turn department staff members off to community governance. City leaders recognized that the transition to a more collaborative government that focuses on partnerships and problem solving requires an emphasis on skills that previously were not so highly stressed. These skills include collaboration, conflict resolution, and problem solving; therefore, they decided the best way to transition employees to community governance is to provide them with practice and guidance.

In 2006, the city management team decided to develop a pilot effort that would bring together city departments in a holistic fashion and provide services and enhance quality of life and community engagement within a 1-square mile neighborhood. City leaders saw this pilot effort as a way to provide city staff members with a chance to test their skills and gain a win. The identified neighborhood scheduled for long-term infrastructure improvements does not have a neighborhood association. It has low-level disorder issues, such as code violations and noise complaints, but no serious crime. The city hoped to strengthen community engagement and revitalize this neighborhood and form a neighborhood association in the area.

The city management team tasked senior managers from their departments with the responsibility of working together as a team on this project and to spearhead the effort within their own agencies. One of the first things that the city operations team did was meet to discuss what each knew about the specific neighborhood and learn how the collaborative problem-solving process works. As part of this project, in 2006, the Police Executive Research Forum (PERF) was able to facilitate the discussions of the operations team members as they prepared to engage the citizens in the pilot neighborhood effort. The

departments brought together information about what they knew about the community and culled and shared the following:

- Neighborhood boundaries
- Number and types of residential and commercial properties
- Demographic information about neighborhood residents, such as age distribution, languages spoken
- Plans for upcoming infrastructure improvements
- Public safety issues
- Traffic issues
- Code enforcement issues
- Fire and fire safety issues.

This effort gave city staff members a broad background and an understanding of the neighborhood that prepared them for a community engagement in the late winter of 2007. With groundwork from the city staff, who not only mailed invitations to neighborhood residents but also personally called them and went door-to-door asking residents to come to the engagement, about 30 neighborhood residents showed up and worked with city employees to identify and begin to work on community problems. For some community members, the focus on jointly solving community problems was a new idea that took some time to adjust to. Prior to this event, they viewed their role as identifying problems for the government to address. This effort gave them not only a voice, but a responsibility.

## Longmont, Colorado

Longmont, Colorado, is a city of almost 85,000 people located in Boulder County at the foothills of the Rocky Mountains. Like Anaheim and Irving, Longmont operates under a council-manager form of government. Longmont's seven-member city council is presided over by the mayor. Together they make up the city's policymaking body. Council members are elected to 4-year terms, while the mayor is elected to a 2-year term. Three city council members are elected by and represent specific wards within the city. The remaining four council members and the mayor are elected at-large. The Longmont City Council appoints a city manager who is responsible for the administration of municipal departments.

### Views from the Front Lines: What Does Community Governance Mean to Me?

Customer service is not the key because it promotes more of a sense of being helped. Governance is really about enabling the citizen to be a proactive, empowered partner to getting the job done.

– Julia Pirnack, Mayor

## Origins of Community Governance in Longmont

In the 1990s, the Longmont Police Department—like many other police departments and sheriffs' offices across the country—began to implement the community policing philosophy, and since then it has been widely recognized as a premiere community policing agency.<sup>34</sup> At the same time, the city manager's office throughout the 1990s was internally stressing the need to involve the community in more aspects of local governance. It was also emphasizing the need for municipal agencies to work together to enhance community quality of life. These efforts gained support from city departments and were put into practice, although some questions remained about roles and responsibilities.

**Development of a resource manual on community involvement.** In 2001, the Parks and Recreation Advisory Board requested that the Longmont City Council clarify the roles of the city's various boards and commissions. In the council's annual retreat that year, members focused on the topic of governance: ways to further involve the community in service delivery and problem-solving efforts and on how to share responsibility for quality-of-life issues with the community. The council tasked a committee of city staff members representing all city departments with developing an approach to achieving greater community involvement. With input from the council, community members, and city employees, the working group developed a community involvement resource manual<sup>35</sup> that provides a framework for determining the appropriate level of community involvement because community involvement "is not a canned program that the City has simply adopted and implemented."<sup>36</sup> Rather, community involvement strategies should be particular to "an issue and the people concerned about that issue."<sup>37</sup> The resource manual describes four levels of community involvement and provides examples of principles and strategies that are used at each level. The levels in ascending order of involvement are as follows:

- Inform: Providing balanced and objective information to assist in understanding the problem, alternatives, and/or solutions.
- Consult: Obtaining feedback on analysis, alternatives and/or decisions.
- Involve: Collaborating directly with the community throughout the process to ensure that issues and concerns are consistently understood and considered.
- Partner: Partnering with the public in each aspect of the decision, including the development of alternatives and the identification of the preferred solution. All participants' input is equally valued.<sup>38</sup>

The "inform" level of involvement includes activities such as advertisements, utilizing the media, public meetings, electronic bulletin boards, fliers, brochures, and door hangers. "Consulting" activities include brainstorming sessions,

<sup>34</sup> For a further discussion about Longmont's implementation of community policing see Schneider, Kimerer, Seaman, and Sweeney, 2003.

<sup>35</sup> City of Longmont Community Involvement Committee, 2002. See also City of Longmont, n.d., for a further discussion.

<sup>36</sup> City of Longmont Community Involvement Committee, 2002, p. 1.

<sup>37</sup> City of Longmont Community Involvement Committee, 2002, p. 1.

<sup>38</sup> City of Longmont Community Involvement Committee, 2002, p. 2.

advisory boards and commissions, focus groups, questionnaires, and hot lines and 800 numbers. The “involve” level includes citizen juries, mediation, task forces, community-oriented policing, and community-oriented governance. The “partner” level includes activities such as community partnership and working groups. The city also stresses that different phases or aspects of a project may call for different levels of involvement (e.g., during planning, implementation, and evaluation).<sup>39</sup> The City of Longmont has used this resource as a framework on which to continue to build and improve its efforts at engaging the community around public policy matters and problem-solving efforts.

**Community policing and community governance.** The police department’s efforts to implement and sustain community governance support problem-solving efforts. The Longmont Police Department views community policing as its way of doing business, and it works to engage and partner with other municipal agencies on community crime and disorder issues. It recognizes that other city departments have expertise, knowledge, and resources that can help resolve or minimize crime problems, and it partners with them. The department also strives to involve the community in problem-solving issues and works to increase its transparency and demonstrate its service orientation. For example, engaging the community is one of the areas in which officer performance is evaluated. Further, community members, including high school seniors identified by the department’s school resource officers and graduates of the citizens’ academy, as well as representatives from the criminal justice system (e.g., judges, probation officials), serve on the department’s hiring and promotion boards.

## Key Aspects of Community Governance in Longmont

Longmont continues to build on its community engagement efforts and is a nationally-recognized leader in community collaboration and problem solving.<sup>40</sup> Longmont has reiterated its commitment to collaborative problem-solving efforts among municipal agencies and with the community in its most recent comprehensive plan, which was adopted in 2003. The plan stresses the service orientation of Longmont’s municipal agencies and it builds on the city’s mission statement: “Our mission is to enhance the quality of life for those who live in, work in, or visit our community.”<sup>41</sup> This comprehensive plan serves as a guide for the future, detailing the city’s policies, goals, and strategies in all areas (e.g., growth of the city, role of government, economic development, transportation, human services, culture, and education) during the following 10 years.

<sup>39</sup> City of Longmont Community Involvement Committee, 2002.

<sup>40</sup> In 2006, the City of Longmont received the “All-America City” award from the National Civic League. Each year, 10 communities in the country are selected for this award that recognizes governments that collaborate with the community to address challenges. For further details see: [www.ci.longmont.co.us/news/pr/2006/All-AmericaCity.htm](http://www.ci.longmont.co.us/news/pr/2006/All-AmericaCity.htm) and <http://ncl.org/aac/AACIndex.htm>.

<sup>41</sup> City of Longmont 2003, p. 1-1.

#### Sample Goal, Policies, and Strategies Concerning the Role of Government

Goal: Work cooperatively to achieve the goals and policies of the Longmont Area Comprehensive Plan through the efficient, equitable, and fair operation of municipal government and the private sector.

- Policy: Promote a service-delivery philosophy among City employees that encourages them to seek creative and flexible solutions to problems, to provide responsive, sensitive service to residents, to be efficient and result-oriented, and to establish partnerships with the community in making Longmont a better place to live, work, and visit.
  - Strategy: Continue to integrate the principles and techniques of quality customer service into employees' hiring, orientation, training, and evaluation, and assist employees in providing quality service to the public.
- Policy: Make City government open and accessible to residents.
  - Strategy: Develop programs to improve the City's capability to communicate with residents who speak languages other than English.
  - Strategy: Get information to the public about issues the City is facing, and explore opportunities to supplement public information methods the City is currently using.
- Policy: Encourage community leadership and participation in City government.
  - Strategy: Encourage residents to serve on boards and commissions that advise City Council on matters important to the City, and periodically review the purposes and roles of these boards and commissions to ensure that they continue to benefit the City and effectively use residents' time and energies.
  - Strategy: Develop cooperative programs with educational providers to teach people of all age levels about City functions and operations and the City decision-making process.
- Policy: Create partnerships with other entities, as appropriate, to serve Longmont's residents.
  - Strategy: Explore opportunities to serve Longmont's residents better by creating partnerships, and structure these partnerships as formal or informal, continuous or time-specific, comprehensive or project-specific as appropriate.

(Source: City of Longmont Community Involvement Committee 2002, p.13-2-13-4.)

In 2005, the City of Longmont conducted further visioning and strategic planning efforts with extensive community involvement. The resulting policy directions serve as broad, overarching courses for the city to pursue as it plans for the future. The policy directions focused on five areas:

1. Promote a healthy business climate.
2. Support education as a community-wide value.
3. Enhance the natural environment.
4. Focus on downtown.
5. Promote community identity and cultural inclusion.<sup>42</sup>

<sup>42</sup>Catalyst Consulting, 2006, p. 17.

The fifth area discussed a number of aspects of collaboration with the community. The consulting team developing the report of the strategic planning process highlighted a number of policy areas for consideration:

- “Engaged Neighborhoods: Place a continued and enhanced emphasis on neighborhoods as the primary building block of the city.
- Renewed Emphasis on Youth Activities: Involve youth in planning and conducting new and revitalized programs and activities, and create an environment where youth feel valued in the community.
- Meaningful Citizen Involvement: Continue to promote meaningful, purposeful citizen involvement and engagement opportunities to hear many voices in City programs and initiatives.
- Culturally Inclusive Gatherings and Events: Support and encourage culturally inclusive community gatherings and events.”<sup>43</sup>

The consulting team also recommended specific activities that support these policies, such as strengthening neighborhood groups, working with the Longmont Youth Council, and annual reviews of the city’s progress.<sup>44</sup>

The goals, policies, strategies, and plans for enhancing community involvement and shared responsibility for quality-of-life issues continue to be expressed through a number of avenues in Longmont. One such avenue was to set a vision and priorities for education in the community at a forum attended by 700 community members, including many local high school students. The city used a process by which background information and data were provided to community members. As part of this effort, local experts shared information about best practices in the field. Using the shared data, the community worked in small groups to develop input for the school system and city management. Seven action groups were also established to ensure continued input, and a steering committee of city employees provided the staff work to sustain the effort.

Another example of community governance activities in Longmont is the leadership training program offered by the Community and Neighborhood Resources Department. The program teaches people who live or work in Longmont about the city’s history and government, effective methods of communication, meeting facilitation, cultural diversity, and community policing. The mayor and other city officials participate in the program’s graduation ceremonies.<sup>45</sup> The city has also used problem-solving processes to address myriad issues, such as traffic mitigation. In one instance, engineers contacted community members who had made complaints and worked through a problem-solving process with them and jointly developed a plan, which was taken to the Longmont City Council. While the plan varied little from what the engineers originally thought it would be, they had clear support from members

<sup>43</sup> Catalyst Consulting, 2006, p. 24.

<sup>44</sup> Catalyst Consulting, 2006, p. 24.

<sup>45</sup> further details, see: [www.ci.longmont.co.us/cnr/neighborhood/leadership\\_training.htm](http://www.ci.longmont.co.us/cnr/neighborhood/leadership_training.htm).

of the public who probably would not have been as supportive had they not been involved in the decision-making process.

## Prince William County, Virginia

Prince William County, Virginia, is a growing community of approximately 380,000 people located about 35 miles southwest of Washington, D.C. Since 2000, the county has grown by 100,000 persons—or 37 percent. Prince William County operates under a county executive form of government. The county's governing body is composed of an eight-member board of county supervisors who make policy decisions. Seven of the board members are elected to serve districts within the county, and the eighth member is elected at-large to serve as the board's chairman. All members of the Prince William Board of County Supervisors are elected to 4-year terms. The board appoints a county executive who is responsible for implementing policies, addressing administrative issues, and recommending department heads for appointment.

As a county government, Prince William County has some unique features that are different from the city governments discussed in this section. Within Prince William County, there are two independent cities that have their own government structure and operate independently of the county government. There are also four incorporated towns within the county boundaries. Those cities provide services in cooperation with the county.

### Views from the Front Lines: Community Governance in Prince William County

The value of community government is keeping focused on achieving the vision, values, and leadership philosophy of the government and the citizens it serves. This is achieved by a community strategic planning process, performance measurement, service efforts benchmarking, performance-based budgeting, and continuous process improvement. Further, the value of community governance involves creating an organizational culture that focuses on government agencies working together as well as with community residents in addressing community priorities and concerns.

— Tom Pulaski, Director of Planning and Budget, Police Department

## Origins of Community Governance in Prince William County

In Prince William County, administrators and agency executives stress that community governance is their philosophy and not a set of county programs. The community governance approach sets the foundation for how county agencies work together and provide services. These efforts trace back to the early 1990s, when the county adopted a new performance measurement system. They also have roots in efforts to advance community policing within the Prince William County Police Department.

**Performance measurement and community governance.** In the early 1990s, Prince William County developed a new, multifaceted performance measurement system for its agencies. This award-winning system follows a cyclical process that includes the following:

- A strategic planning process
- Identification of performance measures
- The county budget process
- Delivery of efficient and effective services
- Explicit linkage of employee evaluations with agency/county goals
- An evaluation of the county's progress toward meeting its intended goals.

Prince William County residents are involved throughout the performance measurement process. The county's citizen survey creates the basis for data used to make decisions, and it also helps agencies to evaluate their progress toward meeting their goals. A survey of county staff members also assists in the evaluation process. This performance measurement system stresses collaboration and problem solving and supports organizational changes that are needed for these efforts to succeed. This evaluation process and the public dissemination of the results highlight the transparency of county government.<sup>46</sup> The county's report on service efforts and accomplishments serves not only as a accountability mechanism but also as way by which county staff members can "review results, raise questions, and when appropriate, initiate change."<sup>47</sup> County officials believe that this commitment to transparency must be agency-wide, and that it is a critical component of their community governance efforts.

**Community policing and community governance.** Community policing helped pave the way to community governance in Prince William County. The department's commitment to partnerships, problem solving, and organizational transformation helped connect it with other county agencies and the community. These positive relationships and the department's reputation for ethical decision-making helped to facilitate getting other agencies within the government to also adopt a community-oriented approach.

## Key Aspects of Community Governance in Prince William County

Prince William County has taken steps to encourage county staffers to work with each other and the community to address local problems. The county has taken a number of steps to support and institutionalize these efforts through organizational changes within agencies and the overall county structure. Prince William County executives believe that there are three main keys to their success, and that these keys are essential for any municipality adopting the community governance philosophy:

<sup>46</sup> Prince William County posts its annual Service Efforts and Accomplishments Report and other accountability reports, such as citizen surveys and strategic plans, and capital improvement plans, on its web site: [www.pwcgov.org/accountability](http://www.pwcgov.org/accountability).

<sup>47</sup> See Prince William County, Virginia, 2006, p. a.

1. There needs to be conduits for exchange. The community has an avenue to express its concerns, for example, through community surveys, and the agency executives communicate formally through the strategic planning process.
2. The government has to be willing to give up some ownership of the problems to the community. By doing so, the government can engage in true dialogue and collaboration with the community. The community should participate in defining goals, problems, and solutions.
3. The government has to report on results. The government needs to be transparent in its approach and give feedback about the successes or failures of its approach.

In Prince William County, the development of relationships over time has encouraged information-sharing and problem-solving efforts across agencies and with the community. For example, the Prince William County Police Department connects with other agencies through the use of a tracker system, which follows the resolution of common problems to be addressed across county agencies. The Community Services Board, which assists persons suffering from or at risk of developing mental disabilities or substance abuse problems, collaborates with other city agencies and the community on its prevention and proactive problem-solving efforts. It has found that in some cases colocating its staff with other agencies assists with collaboration. The Neighborhood Services Division of the county's Public Works Department has also embraced the community-oriented approach to its work. The division is responsible for educating and engaging with residents in cooperative efforts to deal with code issues such as zoning, overcrowding in housing, litter, and landscaping. Staff members engage the community in two main ways: a community maintenance task force that brings together a variety of stakeholders, and a community volunteer group. The division has developed process action teams to work on community problems, using the SARA model of problem solving. For all county agencies, these relationships with their local government colleagues and with the community have proven critical to dealing with crises or hot-button issues, such as illegal immigration. They have helped agencies continue their dialogue with the community and clarify and respond to community concerns.

Prince William County agencies have adopted the Continuous Quality Improvement (CQI) model, which calls for problem solving, the use of data to inform decision-making (e.g., community surveys), and working with neighborhood residents to define and prioritize problems. CQI is used throughout county agencies, and related training is offered to all county staff. These efforts are data-driven with links carried through to employee evaluations and agency-wide goals (i.e., outcome of the "cleanest, best-looking county"). Through these evaluations, county employees are held responsible for their

actions and productivity. Prince William County's approach to recruitment, hiring, and retention supports the commitment to CQI; it looks to recruit and hire persons with a collaborative spirit and leaderships capabilities.

Additionally, agencies are asked to give up some of their autonomy to embrace the county mission and its goals. The city's mission and vision statements reiterate its commitment to working together with residents to address problems and improve the quality of life in the county. Individual agency mission statements support the county's overall mission statement and stress the specific competencies of the agency.

**Prince William County Employee Vision Statement**

Prince William County Government is an organization where elected leaders, staff, and citizens work together to make our community the best. We, as employees, pledge to do the right thing for the customer and the community every time. We, as a learning organization, commit to provide the necessary support and opportunities for each employee to honor this pledge." (Prince William County, Virginia, 2007, p.6)

Other key ways in which the Prince William County government has taken steps to support its move toward community governance and institutionalize these efforts is by making changes in the budgeting process to enhance collaboration between agencies. The budgeting process now stresses consensus building and voting by agency heads and draws on what has been learned through community surveys. This approach to budgeting is one way in which the agency leadership consistently and persistently stresses, facilitates, and models the adoption of a community-oriented approach to local government. Another way these efforts are being institutionalized is through a continuity of leadership that reiterates the commitment to a community-oriented approach to local governance.

### Selected Prince William County Mission Statements

#### Prince William County Government

The mission of Prince William County Government is to provide the necessary services to protect the health, welfare, safety, and environment of citizens consistent with the community's values and priorities. This mission is accomplished by: encouraging citizen input and involvement; preserving the County's fiscal stability; producing effective and efficient government programs; managing the County's resources; planning for the future; and representing citizens' needs and desires to other levels of government. (Prince William County, Virginia, 2007, p.121)

#### Prince William County Police Department

To enhance the quality of life by providing police service through shared responsibility with the public. (p. 519)

#### Prince William County Office of Planning

The mission of the Office of Planning is to assist the community in developing the county to its best potential. We evaluate and implement policies to support the goals of the community as it prospers and matures. (p. 337)

#### Prince William County Sheriff's Office

The Sheriff's Office, in partnership with elected leaders, staff, and citizens as part of public safety will provide security at the Judicial Center, serve all court process, provide timely transport for prisoners and patients, and continue to develop and enhance collaboration with all of our partners. (p. 553)

#### Prince William County Community Services Board

We are committed to improving the quality of life for people with or at risk of developing mental disabilities and substance abuse problems and to preventing the occurrences of these conditions. We do this through a system of caring that respects and promotes the dignity, rights, and full participation of individuals and their families. To the maximum extent possible, these services are provided within the community. (p. 607)

#### Prince William County Office on Youth

To promote and encourage positive youth development by offering youth, youth-serving professionals, interested citizens, and community groups information, activities, resources, and programs on issues important to and relevant to youth. To enhance the economic stability of county families by offering both affordable and accessible, high-quality, developmentally appropriate child care at County Elementary Schools before/after school, during school breaks, and throughout the summer. (p. 659)

## Wichita, Kansas

Wichita, with a population of about 360,000 people, is the largest city in Kansas. Wichita operates under a council-manager form of government. The city has a seven-member council that serves as its policymaking body. Six of its members are elected by districts. The seventh member, the mayor, is elected at-large. All members of the council are elected to 4-year terms. The city manager is appointed by the city council to carry out policies. The city manager's responsibilities include submitting the annual budget, administering and overseeing operations, and appointing and removing city personnel.

### Views from the Front Lines: Community Governance in Wichita

City managers as a profession now talk about engaging citizens. It's widely accepted that we need citizens engaged to move projects forward.

– Kathy Holdeman, Assistant City Manager

It's not just about department heads collaborating. The community needs to be empowered and given the tools to be successful. The police aren't there every day, and neither are we in housing.

– Mary Vaughn, Director, Housing Department

The more we can do community governance, the more the community will benefit—through increased trust in government and enhanced, proactive service delivery.

– Norman Williams, Chief, Police Department

## Origins of community governance in Wichita

Community governance in Wichita emerged as the agency took steps to adopt the community policing philosophy. It was also strongly promoted within the city structure by the leaders, who stressed the need for agencies to work together on community issues.

**Community policing and community governance.** In Wichita, the origins of community governance emerged along with community policing in the early 1990s. Following a widely publicized shooting at a Wichita State University community event, the city developed the "Neighborhood Initiative," which brought together community stakeholders to gather input on the challenges facing Wichita. As part of this process, the city developed a document with 78 action steps detailing activities that the community and city could undertake to combat crime and improve quality of life. Key to this document and the success of the community was the implementation of community policing. Closely tied to the police department's efforts was the work of the Office of Central Inspections and the Environmental Services Department; both offices deal with code violations in the city. Their work and cooperation were seen as essential to the success of community policing and the improvement of life in Wichita neighborhoods.

**City leaders and community governance.** For Wichita's mayor and the city manager, the Neighborhood Initiative was a critically important city effort, and both stressed and supported the implementation of community policing. The mayor and city manager saw the implications of community policing on the rest of the city's departments and took steps to pull them into a transition to a more community-oriented approach to local government. They brought other departments into problem-solving efforts and established four neighborhood city halls staffed by members of the police, code enforcement, and environmental services departments, as well as neighborhood assistants from the city manager's office. The neighborhood city halls, which corresponded with the districts the police department developed as part of its community policing implementation efforts, provided a venue for the community and city staff to address neighborhood issues collaboratively. Over time, the courts became a part of the neighborhood city halls, and they now hold court proceedings for persons residing in the area. Through these efforts, the city administration stressed that city departments need to collaborate and gave them a venue through which they could engage in such efforts.

## Key Aspects of Community Governance in Wichita

In Wichita, as in many communities, city officials have seen community engagement ebb and flow. The city faces the challenge of maintaining community interest and activity in collaborative efforts, especially when there are no crises to rally community members to action. Likewise, the city and its departments have also seen interest in collaboration vary over time as priorities and political leaders change. Currently, the city is undertaking a number of efforts to maintain community involvement in local issues and to strengthen and institutionalize collaboration and integration between municipal agencies. These include a commitment to changing how city government operates, the implementation of specific programs, and community education and training.

Wichita is taking steps to institutionalize a more collaborative, service-oriented municipal government. Throughout the city, this change in the approach to governance is referred to as "Transforming Wichita," which sets a vision:

- "For Wichita to be a premiere Midwestern city where people want to visit, live, and play (as envisioned in Visioneering Wichita).
- For Wichita City government to be a model of world class city governance—where citizens are getting the best possible value for their dollars and the City has the public's confidence and trust. For this vision to be attained, we have to adapt to change!"<sup>48</sup>

<sup>48</sup> See City of Wichita, n.d.b. Visioneering Wichita was the final product of regional dialogues and meetings to collectively identify and express a common vision and goals for the Wichita metropolitan area. For further details see Visioneering Wichita Task Force, 2004.

Along with the vision for the city, Transforming Wichita also sets goals for how city government should operate in the future. Citizens will have a municipal government that is a “high-performing organization” that does the following:

- Focuses on results
- Understands what results matter most to their customers
- Makes performance matter
- Moves decision-making to the front-line, closest to customers
- Fosters an environment of excellence, inclusiveness, accountability, learning, and innovation.<sup>49</sup>

Through Transforming Wichita, the city manager is stressing transparency in city government, efficient and effective delivery of services, positive outcomes, problem solving, collaboration between government agencies and the community, and continuous improvement in city government.<sup>50</sup> City leaders also stress that this approach to governance is fiscally responsible and that it is a way to continuously seek improvement in city operations.<sup>51</sup> Through a number of citywide initiatives and programs, the city is putting these ideas into action.

One such program is “Stop Blight.” The Stop Blight effort grew out of concern among community residents about the condition of properties in various neighborhoods. The city also had concerns of its own, namely, that neglected and abandoned properties were contributing to a sense of disorder in neighborhoods and that this blight slowed property appreciation and inhibited economic development. The Stop Blight effort encourages community involvement and municipal agency collaboration in identifying blighted properties and seeks to bring them up to code. As part of this effort, the city adopted a new ordinance targeting neglected buildings. It also developed a StopBlight Action Response Team (START) that is to provide “a comprehensive, proactive, interdepartmental approach to eliminating blight and other neighborhood nuisances.”<sup>52</sup> The START Team is composed of staff members representing the following city agencies: Office of Central Inspection, Environmental Services, Police, Law, Neighborhood Services, Municipal Court Administrator, and Housing and Community Services. The team is responsible for collaborating with the community to identify and seeks solutions to blighted properties. These efforts help reenergize communication and collaboration between city departments and their staff members and provides them with up-to-date information about the services their department can provide to help alleviate blight.

Wichita is also working with the Kansas Department of Correction on a reentry initiative that seeks to increase the likelihood that persons returning to Wichita from state prison make a successful transition back into society and

<sup>49</sup> See City of Wichita, n.d.b.

<sup>50</sup> For further information see Kolb, n.d.

<sup>51</sup> See Kolb, n.d.

<sup>52</sup> See City of Wichita, n.d.a., p. 24.

do not commit new crimes or return to prison for technical violations of their conditions of release. In Wichita, offender reentry is a crucial public safety issue facing the community because about 70 percent of persons released from corrections will return to Wichita. This effort recognizes that no single agency can effectively address the reentry problem alone and, therefore, it seeks to bring in other government and community stakeholders, such as social services, health, mental health, substance abuse, education, housing, and employment providers.

Another example of a collaborative, multiagency effort focuses on education of new homeowners. The city helped form a Home Owner's Alumni Club for Section 8 renters who have graduated into home ownership. The housing department and other city agencies realize that new homeowners can face a number of challenges after they move into their home, and they want to provide community members with the tools to be successful. The housing department, therefore, organizes monthly meetings for new homeowners. Other city departments come to these meetings to discuss homeowner responsibilities and to share their knowledge and expertise. These meetings have covered topics such as domestic abuse, code enforcement, and gardening and lawn care, and have brought housing, police, parks and recreation, environmental services, and central inspection officials together with the community. The city also facilitates a neighborhood clean-up program in which community members come out to beautify the area and work on problems. In some neighborhoods, these clean-up efforts have been the genesis of greater community engagement and the formation of neighborhood associations. As community residents have become more engaged, their expectations and norms have changed, making it less likely for government to slip and become less responsive. Should this happen, city officials are confident the community would demand a return to a service-oriented government.

## Conclusion

The transition to community governance, like the transition from traditional policing to community policing, will not occur overnight or, for that matter, in a few short years. The organizational changes required for community governance are significant. They require clear and consistent leadership from municipal administrators, elected municipal leaders, and municipal agency executives. Together as a team, these leaders can stress, model, encourage, and reward municipal agency staff members for their collaborative problem-solving efforts within local government and with the community.

With tighter municipal budgets and increased community demands for involvement in decision-making, a more transparent government, and accountability for outcomes, community governance will not be a passing fad. Rather, because of these higher expectations from residents and the continued desire of police departments to advance community policing efforts to new levels, an increasing number of cities will look for ways to enhance their community collaboration and further bring the community into problem-solving efforts and decision-making processes. Once cities undertake these efforts seriously, expectations and norms both within municipal government and the community will change, making it unlikely that a community will accept any slippage to less-collaborative and less-responsive approaches to government.

This document, we hope, will encourage cities and their leaders to begin to adopt the community governance philosophy by providing them with information, guidance, and cautions about the road ahead and practical examples of this philosophy from the field. Clearly, further research is needed to develop a broader and more sophisticated understanding of community governance as more cities develop and implement the elements of partnerships within municipal agencies, partnerships with the community, problem-solving efforts, and organizational change. We believe this report is an important first step to learning about and encouraging the implementation of community governance. The future of community governance certainly looks bright and promising.

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## About PERF

The Police Executive Research Forum (PERF) is a national organization of progressive law enforcement chief executives from city, county, and state agencies who collectively serve more than half of the country's population. Established in 1976 by 10 prominent police chiefs, PERF has evolved into one of the leading police think tanks. With membership from many of the largest police departments in the country and around the globe, PERF has pioneered studies in such fields as community and problem-oriented policing, racially biased policing, multijurisdictional investigations, domestic violence, the police response to people with mental illnesses, homeland security, management concerns, use of force, and crime-reduction approaches. To learn more about PERF visit [www.policeforum.org](http://www.policeforum.org).

## About COPS

The Office of Community Oriented Policing Services (the COPS Office) is an innovative agency that has been the driving force in advancing community policing throughout the nation. The COPS Office has a unique mission to directly serve the needs of local law enforcement, and COPS Office grant programs and products respond specifically to those needs.

The COPS Office was created through the Violent Crime Control and Law Enforcement Act of 1994. As a component of the Justice Department, the mission of the COPS Office is to advance the practice of community policing as an effective strategy to improve public safety. Moving from a reactive to proactive role, community policing represents a shift from more traditional law enforcement practices. By addressing the root causes of criminal and disorderly behavior, rather than simply responding to crimes once they have been committed, community policing concentrates on preventing both crime and the atmosphere of fear it creates. Additionally, community policing encourages the use of crime-fighting technology and operational strategies and the development of mutually beneficial relationships between law enforcement and the community. By earning the trust of the members of their communities and making those individuals stakeholders in their own safety, law enforcement can better understand and address the community's needs, and the factors that contribute to crime.

The COPS Office awards grants to state, local, and tribal law enforcement agencies to hire and train community policing professionals, acquire and deploy cutting-edge crime-fighting technologies, and develop and test innovative policing strategies. COPS Office funding provides training and technical assistance to advance community policing at all levels of law enforcement, from line officers to law enforcement executives, as well as others in public safety. Because community policing is inclusive, COPS training also reaches state and local government leaders and the citizens they serve. The COPS Office has compiled an unprecedented array of knowledge and training resources on community policing. This includes topic-specific publications, training curricula, and resource CDs. All COPS Office-developed materials are available as resources to law enforcement and their partners.

- Since 1994, the COPS Office has invested more than \$12 billion to add community policing officers to the nation's streets, enhance crime fighting technology, support crime prevention initiatives, and provide training and technical assistance to help advance community policing.
- Nearly 500,000 law enforcement personnel, community members, and government leaders have been trained through COPS Office-funded training organizations.
- The COPS Office has distributed more than 1.2 million knowledge resource products (i.e., publications, training curricula, white papers, etc.) dealing with a wide range of community policing topics and issues.
- At present, approximately 81 percent of the nation's population is served by law enforcement agencies practicing community policing.
- By the end of FY 2008, the COPS Office had funded approximately 117,000 additional officers to more than 13,000 of the nation's 18,000 law enforcement agencies across the country in small and large jurisdictions alike. The most recent survey of COPS Office grantees indicated that approximately 109,581 of these officers have been hired.



For More Information:  
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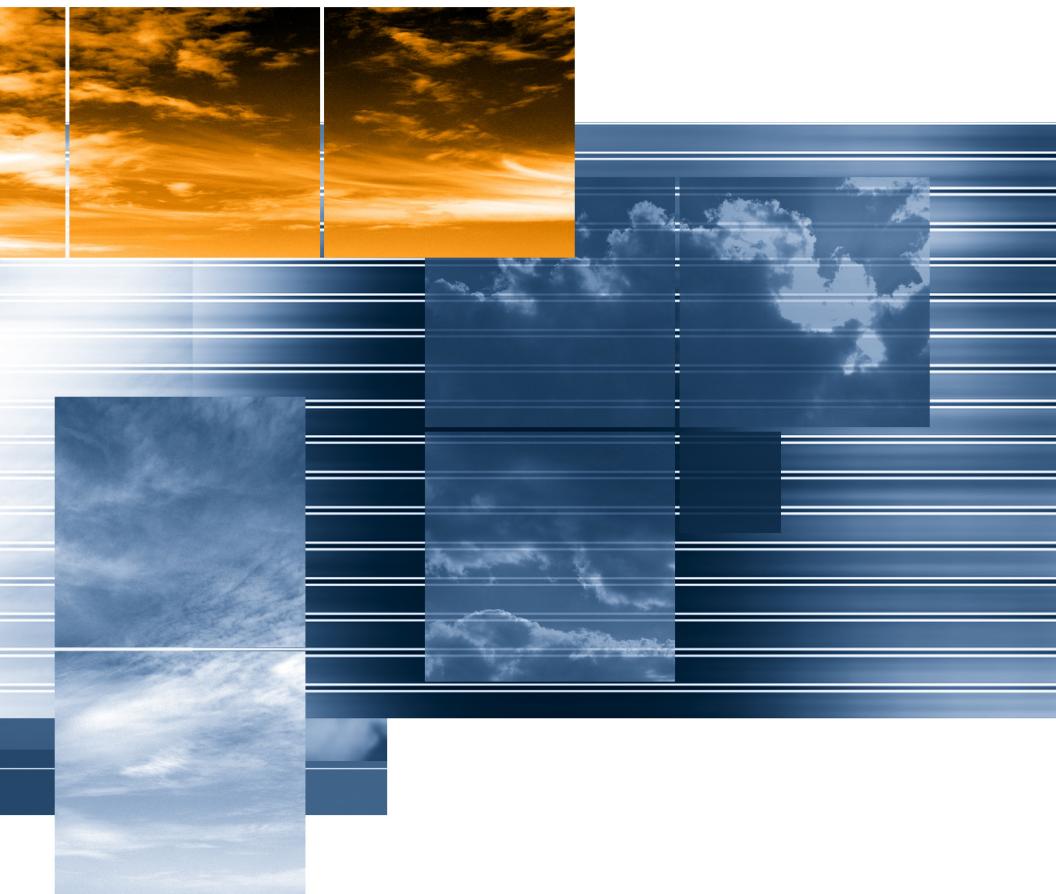
As law enforcement agencies strengthen and advance their community policing efforts they often call on their colleagues in other departments of their own city government to assist with problem-solving efforts in the community. Many city administrators and elected officials are also seeking ways to increase community involvement in local government matters in a more systematic way that results in a more transparent government structure that stresses accountability and responsiveness to the community. Cities that pursue these collective efforts are beginning to adopt a philosophical approach to local governance referred to as "community governance", which is collaborative across agencies and service oriented. Advancing Community Policing Through Community Governance details the community governance philosophy and describes its implementation in five communities across the country.





# Community Policing: Looking to Tomorrow

By  
Drew Diamond  
Deirdre Mead Weiss



POLICE EXECUTIVE  
RESEARCH FORUM

# COPS

COMMUNITY ORIENTED POLICING SERVICES  
U.S. DEPARTMENT OF JUSTICE

## **Community Policing: Looking to Tomorrow**

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The opinions expressed are generally those based on the consensus of roundtable meeting participants; however, not every view or statement presented in this report can necessarily be attributed to each participant.

Web sites and sources listed provided useful information at the time of this writing, but the authors do not endorse any information of the sponsor organization or other information on the web sites.

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## Executive Summary

In the early 1980s, a few progressive police departments were experimenting with a new approach to policing called community policing. These departments were trying to engage their community members with the police to jointly address recurring crime and disorder issues through problem-solving efforts. Twenty-five years later, community policing is the operating philosophy and approach to policing in most police departments across the United States.<sup>1</sup>

<sup>1</sup>See, e.g., Mastrofski, Willis, and Kochel (2007), and Fridell and Wycoff (2004). In recent years, the Department of Justice's Law Enforcement Management and Administrative Statistics and Local Police Department reports have detailed a range of community policing activities undertaken by local law enforcement agencies. Reports are available on the Bureau of Justice Statistics web site, [www.ojp.usdoj.gov/bjs/](http://www.ojp.usdoj.gov/bjs/).

Community Policing: Looking to Tomorrow presents the current state of community policing according to police chiefs and other police leaders who attended community policing roundtable meetings in the spring of 2007. Section I of this document presents these police leaders' views about what community policing looks like today and the challenges it faces, and summarizes their predictions about how community policing may evolve in the future. Section II of the document provides suggestions, based on the meetings, about how police departments and city leaders can work together to enhance their community policing efforts and continue to strive to take community policing to the next level.

## Introduction

The voices of the police chiefs heard in this report are varied and reflect a broad policing experience. What the chiefs have in common is a continuing interest in delivering the best quality police service to the communities they serve. The chiefs have come to understand that community policing is quality police service, and that it reflects the highest ideals of policing in a democracy. Democracy is always challenging and often may seem untidy; delivering on the promise of community policing can have those same qualities. Nonetheless, when it comes to policing in a democracy, there is nothing better than community policing.

During the last 25 years, many police executives have defined community policing as their philosophy and approach to policing. They have worked diligently to instill the community policing philosophy and its principles in their agencies. Agencies committed to community policing develop partnerships with their community, address recurring crime and disorder issues through problem-solving techniques, and transform the organization to support these efforts. Through these actions, police departments seek to provide the community with the best policing services possible, to promote integrity within the department, and to increase trust and cooperation between the police and the people they serve.

### **How Did We Get Here?**

Providing police services in America is essentially—and very important—locally organized and controlled. Historically, change in the nature and quality of police service has been more evolutionary than revolutionary. Community policing emerged on the scene during the 1980s in response to the realization by many police, community, and academic leaders that the police were not keeping pace with the complex and diverse nature of American society. This realization was preceded by and also led to a series of groundbreaking and sometimes controversial studies on police policies and operations.<sup>2</sup> The studies and related experimentation generally confirmed that although police services had become more technically adept, they were showing only minimal success in reducing crime and the fear of crime. Of particular concern was the continuing estrangement between the police and the poorest and most disenfranchised people they served. The philosophical construct of community policing has proved to be the best possible response to this concern. Community policing's emphasis on developing partnerships to address community crime and disorder problems and supporting that effort through organizational change has transformed American policing. It places a much stronger—and needed—focus on developing and maintaining trust and positive relationships between the police and all the people they serve. During the last 25 years, we have seen that community policing is well-grounded in democratic principles and will continue to be well-equipped to guide police services through complex criminal and social justice landscapes.

The success of community policing can be seen across the country in agencies that define community policing as their way of doing business. In fact, one is hard pressed to find a chief who does not support community policing or a mayor or city manager who does not list community policing as part of the job description for the city's police chief. Language referring to an agency's commitment to community policing also can be seen in mission statements, recruiting materials, business cards, web sites, and many other places.

Since the 1980s, police chiefs across the country have come to agree that three elements comprise the community policing philosophy: community partnerships, problem solving, and organizational transformation. While the precise wording of definitions may vary slightly from police department to police department and within academia, these three core elements have remained constant.

<sup>2</sup> Groundbreaking studies included the Kansas City Preventive Patrol Experiment (Kelling, Pate, Dieckman, and Brown, 1974), The Newark Foot Patrol Experiment (Police Foundation, 1981), and the Flint Neighborhood Foot Patrol Program (Trojanowicz and Banas, 1985), as well as research into rapid response to calls for services (Spelman and Brown, 1984), problem-solving techniques (see, e.g., Eck and Spelman, 1987; Goldstein, 1990), and the broken windows theory (Kelling and Wilson, 1982).

<sup>3</sup>This is how the U.S. Department of Justice Office of Community Oriented Policing Services defines Community Policing.

#### Community Policing Definition

Community policing is a philosophy that promotes organizational strategies, which support the systematic use of partnerships and problem-solving techniques, to proactively address the immediate conditions that give rise to public safety issues such as crime, social disorder, and fear of crime.

Source: U.S. Department of Justice Office of Community Oriented Policing Services, 2008.<sup>3</sup>

#### Description of Community Policing

Community policing focuses on crime and social disorder through the delivery of police services that include aspects of traditional law enforcement, as well as prevention, problem solving, community engagement, and partnerships. The community policing model balances reactive responses to calls for service with proactive problem solving centered on the causes of crime and disorder. Community policing requires police and citizens to join together as partners in the course of both identifying and effectively addressing these issues.

Source: U.S. Department of Justice Office of Community Oriented Policing Services, 2003.

A quarter of a century into this philosophical change in policing, the Police Executive Research Forum (PERF), with support from the U.S. Department of Justice Office of Community Oriented Policing Services (the COPS Office), held a series of three 1-day regional roundtables with police chiefs and other policing leaders to discuss the status of community policing today—both in their agencies and in the broader national context. These roundtable meetings also focused on the challenges to advancing community policing and what lies ahead for community policing in the near future. The three roundtables were held in February and March 2007 in White Plains, New York; Arlington, Texas; and Richmond, California.<sup>4</sup> More than 60 police chiefs, policing leaders, and academics attended the meetings. (For a list of participants, see the Appendix.) In addition to the roundtable meetings, a session on the challenges facing community policing was held at PERF’s Annual Meeting in April 2007.<sup>5</sup> The annual meeting session provided an additional opportunity for chiefs and policing leaders to have their voices heard, particularly those who live outside of the three metropolitan areas where roundtable meetings were held.

<sup>4</sup>The White Plains Roundtable was held on February 27, 2007; the Arlington Roundtable was held on March 22, 2007; and the Richmond Roundtable was held on March 29, 2007.

<sup>5</sup>The PERF Annual Meeting session, titled “The Future of Community Policing—A Police Chief’s Roundtable,” was held on April 26, 2007

*Community Policing: Looking to Tomorrow* is the result of these meetings. This publication is divided into two sections. The first section summarizes the meetings and reflects the comments, observations, and opinions of the participants and their discussions. The second section of this document, also based on the discussions at the meetings, focuses on how police and city leaders can continue to strengthen and add value to local community policing efforts.

## Section I: Roundtable Findings

### Community Policing Today

*"Community policing has evolved and become more complex. Initially, I viewed it as the police department opening up and asking for the community's input and opinion, and incorporating that into police operational practices and philosophy. Over time, my perception has gone through a couple of iterations. Most recently, it means looking at neighborhoods and how we impact them. Community policing today also involves more than the police. Other city agencies must work in partnership with the police and each other to help the community."*

– Chief Theron Bowman, Ph.D.,  
Arlington (Texas) Police Department<sup>6</sup>

<sup>6</sup>The titles and agencies of the participants are those that were current at the time of the roundtable meetings. Several have since changed.

Roundtable meeting participants view community policing as quality police service—service that upholds democratic principles. As such, community policing seeks to improve public safety and the quality of life for all persons within the community. Yet police departments alone cannot do either of these things—and those that try are not successful. Rather, public safety and improving quality of life are the responsibility of both the police and the community. The community is identified as community-based organizations, businesses, individual community members, and other government agencies at all levels (e.g., municipal code enforcement or public works or state corrections agencies).

## The 10 Principles of Community Policing

1. Change.
2. Leadership.
3. Vision.
4. Partnership.
5. Problem solving.
6. Equity.
7. Trust.
8. Empowerment.
9. Service.
10. Accountability.

Source: Trojanowicz and Bucqueroux, 1998.

Community policing today involves the police partnering with the community to address public safety issues and improve the quality of life. Police and the community work together to identify problems and to respond to community concerns and needs. These efforts help build community trust. Roundtable participants stressed that, as much as possible, police department efforts should focus on being proactive or co-active, instead of reactive. This includes taking steps to cultivate trusting partnerships in good times, instead of just during a crisis. It also involves looking at problems from a holistic perspective and analyzing them to identify trends or linkages. At the same time, these efforts do not diminish the ability of the police to pursue enforcement efforts to resolve public safety problems. Enforcement is an important tool in community policing—a point that participants felt was too often lost in the early days of community policing.

*"Through community policing, the community and the police department help each other be successful."*

– Chief Heather Fong,  
San Francisco (California) Police Department

Leadership has been essential to implementing community policing. It is important for community policing values to be well-articulated and for community policing behaviors to be continuously

modeled throughout the entire department—and not just by the chief. Community policing values and behaviors include concepts such as integrity, empathy, compassion, and trustworthiness. For the participants in the roundtable discussions conducted for this study, leadership means allowing staff members within the agency to become leaders within their own ranks and divisions and encouraging their professional development through continuing education, cross-training, and networking opportunities.

*"For me, community policing comes down to three things: partnerships with businesses, the community, and other city departments; a problem-solving perspective; and accountability at all levels of the organization."*

– Chief Larry Boyd,  
Irving (Texas) Police Department

Accountability and transparency were also stressed. Participants at the Richmond roundtable discussed the accountability of police chiefs to three groups: the community, local government (e.g., mayor or city manager and council members), and the police department. The challenge for a police chief is that each group has its own concerns and interests—which may or may not intersect with those of the other groups. Participants discussed transparency in sharing crime information with the public (e.g., through crime maps, web sites, e-mail trees, and listservs), jointly developing and sharing agency policies and procedures, and educating local government officials about the department and community policing.

The implementation of community policing has required a transformation within police departments to support the philosophy. These efforts include empowering officers and holding supervisors accountable for work within specific neighborhoods. To do this, officers must receive appropriate training in areas such as problem solving and supervisory support for working with the community on proactive efforts.

# Current Challenges to Community Policing

Despite the advances in community policing and its widespread acceptance during the last 25 years, challenges still remain. To continue to make progress, the policing profession must address these challenges collectively. Participants at the roundtable meetings identified 10 present and future challenges to community policing and their efforts to advance it. These challenges focus on four areas: the department, the community, the municipality, and the nation.

## Departmental Challenges

### Challenge 1: Recruitment, Hiring, and Retention.

*"A community policing agency must hire and promote people who embrace the philosophy. The philosophy should carry from one generation to the next."*

– Chief Brent Larrabee,  
Stamford (Connecticut) Police Department

Recruiting, hiring, and retaining service-oriented officers is one of the biggest challenges facing the policing profession. Put simply, when departments are unable to do this they will face obstacles in maintaining, much less advancing, their community policing efforts. Many police departments across the country are operating with large staffing shortages. While some of these shortages are the result of budget cuts, others are caused by a lack of qualified candidates and by persons leaving the department for retirement, other law enforcement agencies, or other professions altogether. Participants noted that it is becoming increasingly challenging to fill police chief positions, as well.

Across the board, participants reported challenges in finding applicants for available police officer positions, so much so that one North Texas police department now pays people to apply to the department. In some parts of the country, these challenges become more acute because officer tests are offered infrequently. In New York, for example, many police departments rely on a test given once a year to identify potential officers. Police departments also face challenges in keeping persons interested in becoming a police officer throughout delays in the application process

(e.g., between testing and getting results and through background investigations). Participants agreed that to find quality candidates in the future, departments will need to continue to be innovative with their marketing and branding efforts so they can attract a diverse pool of candidates who reflect their changing communities.<sup>7</sup> Additionally, in the face of these personnel shortages—some of which are severe—it is important, and easier said than done, to hire people who have the attitude and skills for community policing (e.g., problem solving, multitasking, service orientation, integrity, and interpersonal skills). These efforts remain essential to institutionalizing the community policing philosophy in the department.

Participants also discussed some of the challenges in retaining officers. These include long commutes, the lack of affordable housing in some urban areas, changing priorities as officers grow older and begin families, and officers looking for higher-paying departments. Some departments in North Texas report that switching to 12-hour shifts has helped somewhat by giving officers more days off. Meanwhile, some Northeast departments noted that their officers are becoming “burned out” because of long overtime hours. Northeast participants also discussed some of the challenges they face in keeping seasoned officers because some leave the department once they are eligible for full retirement benefits, often after 20 years of service.

### **Challenge 2: Reinforcing Community Policing.**

*“Supervisors need to be held accountable for their officers, but leadership must provide them with the resources to do their job.”*

– Chief Francisco Ortiz,  
New Haven (Connecticut) Police Department

Police departments continue to face challenges when it comes to reinforcing the community policing philosophy in their agency. Department executives must emphasize community policing through their behaviors and actions, while recognizing that their efforts alone will not institutionalize the philosophy. Participants at the roundtables discussed the important role that first-line supervisors play in supporting

<sup>7</sup>For further discussion and examples of creative ways to recruit service-oriented officers see Scrivner (2006).

community policing among line officers and how their resistance to community partnerships and problem-solving activities can severely harm the department's efforts. They agreed that supervisors need to be held accountable for their officers' community policing efforts and activities; yet they recognize that officers will concentrate on those areas in which they are evaluated. For example, officers who are evaluated based on tickets, or supervisors who are evaluated based on their officers' tickets, may be turned off to community policing because they feel they are not rewarded for their partnership and problem-solving efforts. In these instances, community policing can get in the way of the officer's success in the organization. Officer evaluations, therefore, need to reflect the transition from traditional policing to community policing. Additionally, officers should be recognized and rewarded for their community policing efforts.

*"We need to have the right officers involved in field training. They can help new officers start off on the right foot."*

– Commissioner Pat Carroll,  
New Rochelle (New York) Police Department

Training can be used to reinforce community policing. Participants agreed that community policing concepts, such as accountability, problem solving, and partnering with the community, need to be incorporated throughout the training that officers receive, from academy to in-service training. For some officers, their training is not consistent with what the department asks of them. One way to make training more congruent with the department's mission is to conduct scenario training with community members. Participants also noted that community policing needs to be stressed and modeled by field training officers as they work with new officers. Additionally, ongoing training and education are needed to assist with professional development.

Participants stressed that what is taught in training must be adopted in practice by their officers in their day-to-day work. These efforts continue to align police department policies and practices with the community policing philosophy. As police departments continue to transform to meet the needs of community policing,

they should begin to examine organizational success through outcomes and not just outputs, such as arrests. This is a change in expectations that city leaders must support.

### **Challenge 3: Inability to Institute Change.**

*"Consistency is a challenge. I am the seventh commissioner in the last five years."*

- Commissioner David Chong,  
Mount Vernon (New York) Police Department

Instituting change can be difficult in community policing, and change is certainly slow in any police department or other large organization. For some chiefs, civil service rules and collective bargaining agreements may constrain the executive's latitude in decision-making in areas such as hiring, promotions, and assignments. These areas need policies that support the transition from traditional policing to community policing. In addition, the short tenure of many chiefs can be an obstacle to community policing because the police department's leadership may lack consistency. Consistency can be an important part of gaining trust with the community, and mutual trust between the community and the police is essential to successful community policing efforts.

#### **Solving Agency Problems through SARA**

At the Arlington roundtable, Carrollton (Texas) Chief David James discussed how his department started promoting problem solving (Community Problem Oriented Policing – CPOP) as a way to deal with issues and problems within the department. When an agency employee comes upon a problem in the organization, he or she is encouraged to apply the SARA (Scanning, Analysis, Response and Assessment) model of problem solving. Problem solving becomes a habit, and officers become accustomed to using the model to examine the causes of a problem, the possible responses that can be adopted, and how to assess their efforts. Agency employees have used SARA to examine problems ranging from internal organizational issues to reducing burglary of motor vehicles, reducing false alarms, registered sex offender accountability, and other issues related to community quality of life.

## Community Challenges

### Challenge 4: Disengaged Communities.

*"The police department and the community each have their own roles and responsibilities and cannot be successful by themselves."*

– Chief Ronald Davis,  
East Palo Alto (California) Police Department

Participants at the three roundtables discussed their concerns about reconnecting with disengaged communities and staying connected with often rapidly changing communities. When police departments are not able to connect with their community and engage its members in public safety matters, community policing efforts are hampered. Some of the challenges discussed at the meetings included how to hold the community accountable for its responsibilities in a community policing environment. Participants concluded that it is significantly easier to hold the police department accountable for its activities than to devise ways to hold the community accountable for its responsibilities.

Participants' concerns also revolved around how to engage people—many of whom have little free time—in community safety and quality-of-life initiatives. While technology—in the form of the agency's web site and its listservs—can provide transparency and communication with the public, participants noted that overreliance on technology could result in the department losing touch with segments of the community that are not technologically savvy or do not have access to the Internet.

#### Enhancing Communication via E-Mail in San Francisco

At the Richmond roundtable, San Francisco Chief Heather Fong and Lieutenant Charlie Orkes described the agency's efforts to use e-mails to enhance communication and information sharing with the community. District captains are required to send out weekly e-mails to the community detailing crime updates; some captains send these updates daily. The Captain's Weekly Community Newsletter has increased the amount of information that it provided and now often includes details about community events and activities. This communication function serves as a way for the police to share information with the community and for community members to share information with the police and each other.

In some communities, there still remains a general mistrust of police and an unwillingness among residents to share information about neighborhood crimes with the police. This information is essential to police enforcement activities as well as prevention efforts. While great strides have been made during the last 25 years, challenges still remain regarding neighborhood and popular culture influences that discourage working with the police. Participants also noted that further efforts will be needed to engage youths in public safety issues. Youths are a critical, yet often overlooked, segment of the community.

#### Engaging Youths in White Plains

At the White Plains roundtable, Commissioner Frank Straub talked about the City of White Plains' youth-police partnership training program. Following a youth-involved shooting in the city's largest public housing complex, representatives from the White Plains Police Department, Youth Bureau, and School District met with some of the involved youths and their parents. The meeting was quite challenging because the youths and their parents spoke openly about conflicts with the police and reported past incidents of hostile relations.

In response to the meeting, the city partnered with the North American Family Institute to develop and implement a youth-police partnership training program. The purpose of the program was to reduce arrests and violence among city teens while building a more positive relationship between youths and the police. Particular emphasis was placed on building stronger relationships between adolescents from the African-American and Hispanic communities and the police department.

The training program places youths and police officers in structured presentations and group learning experiences that create opportunities for the participants to explore and discuss their values, attitudes, and feelings about race, urban youth culture, and policing. Through a series of scenarios developed by the participants, police officers and youths identify behavior that can escalate situations and practice techniques to de-escalate problems and build effective communication. Follow-up interviews suggest that the program has improved interactions among police officers, adolescents, and their families in and around the public housing campus.

## **Municipality Challenges**

### Challenge 5: Funding Shortfalls.

*"Even with staffing shortages, community policing is still a core part of how police do their job."*

- Chief Chris Magnus,  
Richmond (California) Police Department

Funding shortages remain a challenge to sustaining community policing efforts. Many cities are experiencing budget shortfalls, and police departments are often among the agencies that need to cut their budgets. Decreasing budgets can result in fewer officers who can respond to calls for service, engage in crime-prevention efforts around identified problem areas, and maintain partnerships with the community. Some participants contended that these budget cuts and staffing shortages have left their officers “married to the radio,” responding to calls for service with little or no time left to develop community partnerships and examine and address longer term community problems. Others countered that some police departments use staffing shortages as a rationale to neglect community policing. Still other participants felt that, in light of decreased funding, further research needs to be conducted into how officers use their time; alternative ways to report incidents, such as by telephone or through the web; and further debate about what services police should and should not provide.

*“City government must concentrate on its core business. That should be what makes people come to the city and stay there.”*

– Chief Doug Kowalski,  
McKinney (Texas) Police Department

Participants at the Arlington roundtable addressed funding challenges in a slightly different manner. They discussed the need for cities to return to and focus on their “core business.” In other words, what are those key things the city will focus on providing? Also, what services will the city decline to provide? These discussions demonstrated that, in an environment in which resources are limited, collaboration between city agencies becomes even more important in a municipality’s efforts to provide its community with the best services possible.

*“We base budgets on calls for service, crime rates, and response times—not broader community-building activities. We need to develop a model for the cost and allocation of resources in community policing.”*

– Dr. Richard Smith,  
University of Texas—Arlington

Roundtable participants also discussed the challenges they face in budgeting for community policing. As their organizations have adopted the community policing philosophy and the agency's activities have become more focused on proactive responses and long-term solutions to community problems, the budgeting mechanism generally has remained the same. Participants questioned whether their current way of budgeting is outdated and inconsistent with the community policing philosophy and what changes need to be made to resource allocation—as well as ways of measuring outcomes (e.g., identifying qualitative outcome measures).

### **Challenge 6: Politics of Public Safety.**

*"If we see violent crime continue to rise and resources stagnate or diminish, then there will be strong pressure on police to react by focusing solely on enforcement. We need to demonstrate the need to continue to develop community policing."*

- Commissioner Frank Straub,  
White Plains (New York)  
Department of Public Safety

Short-term politics are a challenge to community policing. Participants noted that local elected leaders are often pushed by their constituencies to seek quick fixes to public safety issues. Similarly, newly-elected leaders often look to put their own mark on public safety issues and develop their own initiatives regardless of existing activities and their successes. Police chiefs expressed their concern that they are being pushed to be reactive rather than proactive by local leaders, especially regarding problems like increasing violent crime rates, gangs, and youth violence. Long-term efforts to effect change in public safety matters are often hard for police chiefs to sell to local elected leaders because they do not produce results quickly enough—yet these long-term solutions are a cornerstone of community policing.

*"Education and outreach efforts with city managers about police work can do nothing but help the profession."*

- Commissioner William Connors,  
Rye (New York) Police Department

Participants also discussed whether the policing profession is doing enough to educate local political leaders about community policing. Nearly all mayors and city managers want their community's police department to practice community policing, but many chiefs are not sure that city leaders have a clear understanding of what this means in real-world terms for the police department and the rest of city government. Many new police chiefs also would benefit from receiving training about the issues facing city leaders and their responsibilities. Education efforts must be ongoing because political leadership changes at the local level (as well as at the state and federal level) where policymaking can enhance or inhibit community policing efforts. These education efforts can also be helpful in clarifying the roles of the police chief and city management.

*"One of the next steps in community policing is to develop throughout the profession a better understanding of politics: how it affects community decisions and the appropriate role of police in politics."*

– Chief Chris Magnus,  
Richmond (California) Police Department

Participants also discussed how politics and policymaking remain a mystery to most officers within their organization—including some at high ranks. Educating officers about the effects of public policy on the department; how the department's budget is allocated; and the chief's accountability to the city manager or mayor, the community, and the department remains a current challenge to community policing.

#### **Challenge 7: Poor Collaboration Between Local Government Agencies.**

*"Other city agencies need to get involved in community policing. The philosophy should be ingrained across the city."*

– Chief Tommy Ingram,  
Colleyville (Texas) Police Department

Poor collaboration between city departments is a key challenge to advancing community policing. Police alone cannot solve public safety problems effectively, and one of the essential partners in community policing is other local municipal agencies. These agencies play

an important role in improving public safety and the quality of life in the community. Making that case to city leaders and other department heads has been a challenge for some police chiefs.

Participants stressed the need for the rest of the city to embrace the service orientation that underlies the community policing philosophy. Participants believe that to address community issues, city departments must collaborate with each other and the community in problem-solving efforts to address specific community problems. City departments can no longer operate as distinct silos; rather, they must realize that each specializes in an area that contributes to the community's overall quality of life.

*"It is important for us to have a partnership with cities where our transit system has stops. First we need cooperation, and then we jointly work together to solve problems."*

– Chief James Spiller,  
Dallas (Texas) Area Rapid Transit Police

In areas where there are large numbers of police departments or other regional agencies that serve the community, participants stressed that collaboration across the region is especially important. These relationships often need to expand beyond the city itself to include other regional police departments and government entities (e.g., other municipalities and counties and the state).

## Nationwide Challenges

### Challenge 8: Policymaking.

Policymaking at all levels of government—local, state, and federal—can affect police department policies and procedures, as well as the department's relationship with the community by dictating through statute the activities and tasks that police departments are required or prohibited to undertake. Policymaking can have a positive effect on police departments and their relationship with various segments of the community or it can have negative consequences. Furthermore, lack of political leadership on pressing issues can prove troublesome and confusing for local police departments. Participants' discussions of

policymaking focused on two main areas of concern: immigration enforcement and offender reentry.

*"The word constitutionality is in our mission statement. Our activities and policies need to uphold constitutional rights."*

– Chief David James,  
Carrollton (Texas) Police Department

Participants at the Irving and Richmond roundtables voiced their concerns about the growing debate about the role of local law enforcement in immigration enforcement.<sup>8</sup> These concerns included what effects local policies—such as city or county ordinances and enforcement training by Immigration and Customs Enforcement (ICE)—may have on the department's relationship with immigrant communities. Many chiefs are concerned about policies that can foster mistrust and fear of the police in immigrant communities. They worry that these policies could lead to a citizen's greater unwillingness to report being a victim of a crime. Furthermore, the chiefs also discussed their concerns about the community not understanding the difference between the local police department and ICE. Overall, participants stressed that they want to ensure that their department is acting in a manner that upholds both the state and federal Constitutions.

*"Returning offenders are the biggest issue we are facing. This truly is a public safety issue."*

– Chief Steve Krull,  
Livermore (California) Police Department

Participants at the Richmond roundtable discussed in detail some of the issues facing California's immense prison population. The chiefs recognize that nearly all of the state's prisoners will eventually be released back to the community and they are concerned about these offenders' ability to reintegrate successfully. They talked about the need for criminal justice agencies to work with social service providers to decrease the likelihood that a person will relapse.<sup>9</sup> Participants also talked about the need for political leadership, especially when it comes to reexamining the way the criminal justice system operates.

<sup>8</sup>For a further discussion of policing and immigration issues see International Association of Chiefs of Police (2007b).

<sup>9</sup>The Council of State Governments and the Police Executive Research Forum—with support from the COPS Office—developed a toolkit for law enforcement agencies to plan and assess their reentry efforts. Planning and Assessing a Law Enforcement Reentry Strategy was released in 2008. The COPS Office has also funded reentry research by the Urban Institute and the International Association of Chiefs of Police. See La Vigne, Solomon, Beckman, and Dedel (2006) and International Association of Chiefs of Police (2007a).

### **Challenge 9: Making the Case for “Community Policing.”**

*“When I came to my department, I tried to stay away from buzz words. I put it simply—the focus is on good police work.”*

– Chief Sidney Fuller,  
Farmers Branch (Texas) Police Department

Community policing is quality police service, and it should be discussed as such. Despite this agreement, challenges remain, and some police officers resist the transition to community policing. To this day, the term community policing in some departments is still problematic; because community policing includes elements that go beyond enforcing the law, some officers consider it “soft” or “not real policing.” Yet its principles and elements are generally accepted. To counter some of the push-back from officers, some chiefs at the roundtable simply have referred to this style of policing as quality policing or simply good police work.

*“Academies are emphasizing the edicts the profession is receiving—homeland security and intelligence—not problem solving or community policing.”*

– Chief Betsy Hard,  
Bloomfield (Connecticut) Police Department

*“Information is our currency, yet to get information we must be trusted.”*

– Chief Richard Melton,  
Napa (California) Police Department

<sup>10</sup>For further discussions about community policing and homeland security see Murphy and Plotkin (2003); Davies and Murphy (2004); and Scheider, Chapman, and Seelman (2003).

Participants also briefly discussed homeland security.<sup>10</sup> They agreed without question that community policing serves the mission of homeland security, but felt this view has not been adequately conveyed to elected officials at all levels of government. Instead, they feel that the government’s focus—and some police academies’ focus—has been placed much more heavily on tactics and equipment in recent years. To sustain and advance community policing, the focus needs to remain on developing partnerships and addressing recurring crime and disorder issues collaboratively through problem-solving techniques. Roundtable chiefs also stressed that without trusting relationships with the community, local police will not have actionable intelligence—intelligence that can prevent crimes,

including terrorist acts, from occurring. Roundtable participants concluded that the profession needs to improve its marketing of community policing and communicate more effectively to elected officials that the community policing model works. For it to be successful in addressing public safety matters and improving community quality of life, though, community policing needs to be nurtured through funding and long-term support from all levels of government.

### **Challenge 10: Traditional and Nontraditional News Media.**

*"As a profession we do not invest as much as we should in working with the media, nor have we orchestrated a way to market community policing. When it gets covered, it is pretty much by accident."*

– Chief Chris Magnus,  
Richmond (California) Police Department

Participants also noted some of the problems they face in working with the news media and in communicating the importance of community policing. These challenges include how to get positive news covered, how to get stories covered accurately, and how to work with the unofficial media, such as blogs and YouTube. People increasingly turn to unofficial media sources for both information and entertainment, and they trust these sources. Participants agreed that more time and effort needs to be given to the police department's relationship with the media so that accurate, relevant information reaches the public in a timely fashion. These efforts shed light on the police department and its activities. Agency transparency is important in community policing because it contributes to community trust and confidence in the police.

## **Advancing Community Policing**

*"One of my greatest challenges is ensuring that community policing moves forward. It is who we are and what we do. It isn't who other departments are yet. As police officers and experts on the community policing philosophy, we need to take a leadership role and show other departments what the community orientation is all about."*

– Chief Theron Bowman, Ph.D.,  
Arlington (Texas) Police Department

<sup>11</sup> PERF, with funding support from the COPS Office, has developed a document on community governance: Advancing Community Policing through Community Governance: A Framework Document. It will be published in 2009.

The participants at the community policing roundtables discussed where community policing should go from here and how to strengthen it and take it to the next level. The chiefs see community policing advancing to community governance in the coming years. Community governance takes the principles and elements of community policing city-wide.<sup>11</sup> For any community, this means that community orientation cannot reside solely in the police department, but rather must be embraced across the city by all agency staff members, managers, and executives, as well as elected leaders.

*"City managers need to stress with all city departments that we are here to serve the public. The future is in partnering together."*

– Chief David James,  
Carrollton (Texas) Police Department

In cities operating under a community governance philosophy, departments work collaboratively with the public to address community problems and issues. With leadership from mayors, city managers, council members, and police chiefs, city departments can begin to develop a holistic approach to addressing public safety issues and improving the quality of life in specific neighborhoods and throughout the city.<sup>12</sup> Through education and training, city departments can develop an understanding of the community policing philosophy and operationalize what it means for various city agencies (e.g., where roles and responsibilities intersect and what being responsive, transparent, and accountable means to each agency and the city).

*"The discussion needs to be moved to community-based government. CompStat should be used city-wide to engage other departments to look at community issues and problems."*

– Chief Ronald Davis,  
East Palo Alto (California) Police Department

Participants stressed that the move to community governance will be a slow, incremental transition, just as community policing was in police departments. The policing profession has learned a lot about how to garner support for the community orientation and can draw on the lessons learned from community

<sup>12</sup> For a further discussion about the role of mayors in advancing community policing, see Chapman and Scheider (2006, p. 3-4).

policing. For example, the city must build capacity within individual departments as well as within the community. This includes focusing on certain skill sets, such as developing partnerships, problem solving, and conflict resolution. Participants also noted that tools such as CompStat and geographic information system-based mapping, which are used in many police departments across the country, have the potential to be used at a city-wide level to assist municipal departments as they identify problems, coordinate efforts, or plan for the future.

#### Building Capacity in Irving, Texas

At the Arlington roundtable, Irving (Texas) Chief Larry Boyd discussed how the City of Irving is taking steps to build capacity in support of community governance. Chief Boyd noted that the city must build the capacity to develop partnerships and work collaboratively on community problems before it rolls out any specific programs or efforts. In Irving, capacity-building occurred during the course of approximately 1 year and took the form of training city department heads and their senior staffs on the SARA model of problem solving, as well as how to work collaboratively on problem-solving efforts. Once city employees were well-versed in the language and techniques, city departments began engaging community members in one Irving neighborhood to address community problems. At a community engagement held in February 2007, city department representatives facilitated small group discussions among community members and city employees. This is a work in progress for Irving—one that it believes has been successful thus far, thanks to the up-front efforts to build capacity.

## **Summary of Findings**

Participants at the roundtables clearly reported that community policing is alive, well, and strong—both in its philosophy and what it means operationally for police departments. Participants agreed that community policing is quality policing in a democracy, and the profession needs to communicate this more clearly and effectively with elected leaders and department personnel. Although participants identified a number of current challenges to community policing, none is insurmountable. In fact, the chiefs believe that with strong leadership from police chiefs and clear support from mayors and city managers, these challenges can be addressed and have the potential to become opportunities for advancement. As the chiefs look forward to the next 5 to 10 years, they see the field taking the elements and principles of community policing—along with the lessons learned during the last 25 years—to the rest of city government. With consistent, forward-looking leadership from police chiefs and city leaders, these chiefs believe that the result will not only be stronger community policing, but also an entire city structure that is more collaborative, responsive to problems, transparent, and accountable to the community.

## Section II: Next Steps in Community Policing

The chiefs' discussions at the community policing roundtables highlighted the fact that community policing is still evolving in police departments across the country. As police and city leaders look to tomorrow and plan how they most effectively can meet the needs of their continually changing communities, they should seek ways to work collaboratively with their communities to address crime and disorder problems and to sustain those efforts at improving the community's quality of life over time. This section discusses important areas of consideration for police chiefs and city leaders as they engage in strategic thinking about the future of their police department and city. The recommendations were gleaned from the discussions at the roundtable meetings. They focus on areas that police and city leaders should consider when asking themselves, "Where are we now, and where do we want to be in the future?"

**Exert leadership.** Consistent, progressive leadership is necessary to advance community policing to the next level. The police chief and agency leaders must convey the fact that community policing is not a short-lived program, but rather a philosophical approach to delivering police services in a democracy. Community policing is the agency's way of conducting business that has the full support of the police department and city leadership. Police chiefs should demonstrate their commitment and leadership by addressing organizational barriers that impede the department's and the individual officer's ability to engage in partnership and problem-solving activities.

**Ensure that rank-and-file officers support the community policing philosophy.** Agency officers are the front-line of community policing. These officers work directly with the public and should have the authority to develop partnerships and solve recurring crime and disorder problems. Agencies need to stress to new officers—throughout recruitment, training, and in their daily service—that the agency adheres to the community policing philosophy. Through the recruitment process, departments should seek to adopt screening processes that select-in persons who have a

service orientation and are committed to community policing, rather than merely selecting-out so-called bad apples. Since new officers are strongly influenced by their field training officers and sergeants, persons in these leadership positions should epitomize a model officer in the department. To make sure officers remain committed to community policing, agencies need to ensure that policies and procedures are congruent with the community policing philosophy: officers are evaluated in a community policing context; officers with exemplary problem-solving and partnership activities receive commendations for their successes; and officers who can serve as role models to others in the agency and have exhibited leadership are promoted.

**Cultivate a new generation of leaders.** Police department and city leaders should support professional and leadership development at all levels and ranks of the police department. The department should take advantage of training opportunities not only to improve specific skills of their officers and civilian personnel, but also to increase their leadership abilities. Many of these opportunities currently focus on the highest ranks in the organization (e.g., FBI National Academy and PERF's Senior Management Institute for Police). Leadership development for midlevel managers (e.g., sergeants and lieutenants) also is important, although harder to come by. The policing profession must continue to develop and support professional development through leadership training, networking opportunities, and other pursuits that encourage cross-fertilization of ideas and ongoing education. These opportunities will help nurture and develop the next generation of police leaders committed to community policing.

**Engage the community in a recommitment to the principles of community policing.** Many police departments see an ebb and flow in the engagement of the community in community policing. When the public feels safe and is not concerned about crime and disorder issues, it often is less active than when there are pressing concerns about crime and disorder after a critical incident occurs. At these times of relative calm, police departments need to continue to engage the community in public safety efforts and stress mutual accountability and responsibility for crime and disorder issues. Likewise, the police department should continue

to reach out to communities that have historically been less engaged in order to develop trust between the community and the police. These groups may include youths, minority communities, and residents of specific geographic areas.

**Assess current community policing efforts.** Police departments need to make an honest assessment of the status of their problem-solving and community partnership efforts, as well as the organizational changes they have implemented to support these activities. One way to do this is to utilize the COPS Office's community policing self-assessment tool. This tool operationalizes the philosophy of community policing and allows agencies to measure and evaluate their implementation efforts across three elements (community partnerships, problem solving, and organizational transformation) and associated subelements. This tool helps to identify the strengths and weaknesses in a department's community policing efforts and will serve as an indispensable resource for police departments and sheriffs' offices.<sup>13</sup>

<sup>13</sup> Caliber, an ICF International Company; PERF; and the COPS Office recently developed a community policing self-assessment tool for police departments to assess their efforts at implementing community policing. Community Policing Self-Assessment Tool: Documenting Today and Planning for Tomorrow – A User's Guide will be published in 2009.

**Engage in activities that support a broader community governance approach to public safety.** Police chiefs should continue to take steps to collaborate with other city agencies on efforts that improve community quality of life and they should engage other municipal agencies and their leadership in public safety efforts. Together with city leadership, police departments should take a leadership role in supporting the implementation of community governance—the application of the principles and elements of community policing at the city-wide level. The department's leadership role can take a number of forms, such as educating other city departments, training other agencies on specific skills sets, participating in cross-training activities, engaging in collaborative problem-solving activities with the community and other municipal agencies, sharing lessons that the agency has learned as it implemented community policing, and other activities jointly identified by the department and city leadership.

**Institutionalize and sustain efforts.** Frequent changes in both police department and city leadership can be an impediment to the implementation of community policing. During challenging times, short-term, reactive

responses to public safety challenges may be preferred over proactive, long-term measures that show success at a much slower pace (yet are potentially more sustainable over time). City leaders should expand their focus to include long-term goals and efforts that may extend beyond their own tenure. To the extent possible, police and city leaders should seek to make community policing and community governance part of the police department and city-wide agency culture through internal organizational changes (e.g., hiring, reward systems, promotion systems, and policies and procedures) and through engagement efforts with the community (e.g., partnerships and problem-solving efforts). When these efforts are institutionalized in the community and within the city, residents likely will not accept any other style of policing and local governance.

## Conclusion

Police department and city leaders who engage in strategic thinking about the preceding topical areas will be able to quickly get a general sense of where their department and city are, and where they are most likely to move in the future. Examining the police department's activities in these areas, as well as local political support for these efforts, can help highlight gaps in the implementation of community policing and help identify the department's next steps in further institutionalizing the community policing philosophy within the agency. This review can also assist with city leaders' efforts to implement community partnerships, problem-solving efforts, and organizational change throughout the city structure. While community policing has matured and evolved during the last 25 years, more remains to accomplish to take community policing to its next level and bring it closer to its ideal.

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## About PERF

The Police Executive Research Forum (PERF) is a national organization of progressive law enforcement chief executives from city, county, and state agencies who collectively serve more than half of the country's population. Established in 1976 by 10 prominent police chiefs, PERF has evolved into one of the leading police think tanks. With membership from many of the largest police departments in the country and around the globe, PERF has pioneered studies in such fields as community and problem-oriented policing, racially biased policing, multijurisdictional investigations, domestic violence, the police response to people with mental illnesses, homeland security, management concerns, use of force, and crime-reduction approaches. To learn more about PERF, visit [www.policeforum.org](http://www.policeforum.org).

## About COPS

The Office of Community Oriented Policing Services (the COPS Office) is an innovative agency that has been the driving force in advancing community policing throughout the nation. The COPS Office has a unique mission to directly serve the needs of local law enforcement, and COPS Office grant programs and products respond specifically to those needs.

The COPS Office was created through the Violent Crime Control and Law Enforcement Act of 1994. As a component of the Justice Department, the mission of the COPS Office is to advance the practice of community policing as an effective strategy to improve public safety. Moving from a reactive to proactive role, community policing represents a shift from more traditional law enforcement practices. By addressing the root causes of criminal and disorderly behavior, rather than simply responding to crimes once they have been committed, community policing concentrates on preventing both crime and the atmosphere of fear it creates. Additionally, community policing encourages the use of crime-fighting technology and operational strategies and the development of mutually beneficial relationships between law enforcement and the community. By earning the trust of the members of their communities and making those individuals stakeholders in their own safety, law enforcement can better understand and address the community's needs, and the factors that contribute to crime.

The COPS Office awards grants to state, local, and tribal law enforcement agencies to hire and train community policing professionals, acquire and deploy cutting-edge crime-fighting technologies, and develop and test innovative policing strategies. COPS Office funding provides training and technical assistance to advance community policing at all

levels of law enforcement, from line officers to law enforcement executives, as well as others in public safety. Because community policing is inclusive, COPS training also reaches state and local government leaders and the citizens they serve. The COPS Office has compiled an unprecedented array of knowledge and training resources on community policing. This includes topic-specific publications, training curricula, and resource CDs. All COPS Office-developed materials are available as resources to law enforcement and their partners.

- Since 1994, the COPS Office has invested more than \$12 billion to add community policing officers to the nation's streets, enhance crime fighting technology, support crime prevention initiatives, and provide training and technical assistance to help advance community policing.
- Nearly 500,000 law enforcement personnel, community members, and government leaders have been trained through COPS Office-funded training organizations.
- The COPS Office has distributed more than 1.2 million knowledge resource products (i.e., publications, training curricula, white papers, etc.) dealing with a wide range of community policing topics and issues.
- At present, approximately 81 percent of the nation's population is served by law enforcement agencies practicing community policing.
- By the end of FY 2008, the COPS Office had funded approximately 117,000 additional officers to more than 13,000 of the nation's 18,000 law enforcement agencies across the country in small and large jurisdictions alike. The most recent survey of COPS Office grantees indicated that approximately 109,581 of these officers have been hired.

## **Appendix: Roundtable Meeting Participants**

White Plains, New York

*February 27, 2007*

- Deputy Commissioner Cedric Alexander  
New York State Division of Criminal Justice Services
- Chief James Bradley  
White Plains (New York) Police Department
- Captain David Burpee  
White Plains (New York) Department of Public Safety
- Commissioner Pat Carroll  
New Rochelle (New York) Police Department
- Commissioner David Chong  
Mt. Vernon (New York) Police Department
- Chief John Compartetto  
Passaic County (New Jersey) Sheriff's Department
- Commissioner William Connors  
Rye (New York) Police Department
- Deputy Chief Neil Dryfe  
Hartford (Connecticut) Police Department
- Carlos Fields  
U.S. Department of Justice Office of Community Oriented Policing Services
- Assistant Chief Anne FitzSimmons  
White Plains (New York) Police Department
- Deputy Chief Frank Fowler  
Syracuse (NY) Police Department
- Chief Michael Geraci  
Schenectady (New York) Police Department
- Chief Betsy Hard  
Bloomfield (Connecticut) Police Department

- Chief Patrick Harnett (ret.)  
Hartford (Connecticut) Police Department
- Chief Robert Hertman  
Wallkill (New York) Police Department
- Jim Isenberg  
North American Family Institute
- Kevin Kennedy  
Westchester County (New York) District Attorney's Office
- Judith Kornberg, Ph.D.  
John Jay College of Criminal Justice
- Chief Brent Larrabee  
Stamford (Connecticut) Police Department
- Deputy Commissioner Byron Lockwood  
Buffalo (New York) Police Department
- Brian Nickerson, Ph.D.  
Pace University
- Chief Francisco Ortiz  
New Haven (Connecticut) Police Department
- Captain James Quinn  
Ramapo (New York) Police Department
- Chief Merritt Rahn  
Greece (New York) Police Department
- Marilyn Simpson  
New York-New Jersey Regional Center for Public Safety Innovations
- Commissioner Frank Straub  
White Plains (New York) Department of Public Safety
- Chief Thomas Sweeney  
Glastonbury (Connecticut) Police Department
- Al Thompson  
New York-New Jersey Regional Center for Public Safety Innovations
- Detective Lieutenant Ron Walsh  
Nassau County (New York) Police Department

Arlington, Texas

*March 22, 2007*

- Chief Mitch Bates  
Garland Police Department
- Chief Theron Bowman, Ph.D.  
Arlington Police Department
- Chief Larry Boyd  
Irving Police Department
- Chief Barbara Childress  
Richland Hills Police Department
- Chief Tom Cowan  
Burleson Police Department
- Chief Sidney Fuller  
Farmers Branch Police Department
- Assistant Chief Ricardo Gomez  
University of Texas – Arlington Police Department
- Chief Tommy Ingram  
Colleyville Police Department
- Chief David James  
Carrollton Police Department
- Interim Chief Russ Kerbow  
Lewisville Police Department
- Chief Doug Kowalski  
McKinney Police Department
- Gilbert Moore  
U.S. Department of Justice Office of Community Oriented Policing Services
- Chief Jimmy Perdue  
North Richland Hills Police Department
- Deputy Chief Rhonda Robertson  
Forth Worth Police Department
- Nancy Siegel  
City of Tulsa (Oklahoma)
- Richard Smith, Ph.D.  
University of Texas – Arlington
- Chief James Spiller  
Dallas Area Rapid Transit Police

Richmond, California

March 29, 2007

- Chief Bill Bowen  
Rio Vista Police Department
- Chief Ronald Davis  
East Palo Alto Police Department
- Chief Heather Fong  
San Francisco Police Department
- Captain Alec Griffin  
Richmond Police Department
- Chief Susan Jones  
Healdsburg Police Department
- Chief David Krauss  
Tracy Police Department
- Chief Steve Krull  
Livermore Police Department
- Chief Chris Magnus  
Richmond Police Department
- Deputy Chief Ed Medina  
Richmond Police Department
- Chief Richard Melton  
Napa Police Department
- Chief Don Mort  
Dixon Police Department
- Lieutenant Charlesws  
San Francisco Police Department
- Tony Ribera, Ph.D.  
University of San Francisco
- Chief Walter Tibbet  
Alameda Police Department
- Captain Diane Urban  
San Jose Police Department



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## Appendix MODULE 3, A. Sioux Chief Gall

### Sioux Chief Gall

Posted By [HistoryNet Staff](#) On 6/12/2006 @ 8:18 pm In [Wild West](#)

In the summer of 1872, surveyors from the Northern Pacific Railroad were seeking the best route for the nation's northern transcontinental line through the Yellowstone River valley. Because this pristine area was one of the important hunting grounds for the formidable Lakotas (Sioux), the railroad surveyors were given military escorts.

Protecting one group of surveyors coming from the west was a force under Major Eugene M. Baker, and protecting another coming from the east was a force under Colonel David S. Stanley. A band led by Gall, a war chief of the Hunkpapas, the northernmost of the seven Lakota tribes, was the first to encounter the soldiers under Stanley. He reported Colonel Stanley's presence to fellow Hunkpapa Sitting Bull, who had already successfully dealt with Baker's smaller force 160 miles away.

Gall attacked Stanley's men twice in the wilderness area where the Powder River joins the Yellowstone. During their second encounter, at the Battle of O'Fallon's Creek, Gall, now fighting in coordination with Sitting Bull, was driven back by Stanley's Gatling guns. The *Sioux City Daily Journal* proved that Gall was already gaining a fearsome reputation when it boasted about Colonel Stanley's decisive counterattack. 'If Mr. Big Gaul [sic] ever again attacks any party crossing the plains, he will...first look sharply to see if they got any Gatlins [sic] with them.'

Gall enhanced his new notoriety when he followed Stanley's 17th Infantry column back to Fort Rice on the Missouri River. With approximately 100 warriors, the ever-alert Hunkpapa war chief's band, which was always on the lookout for stragglers, caught and killed two white officers and Stanley's mulatto cook; each of these men had foolishly gone out to hunt alone. One of the officers was 2nd Lt. Lewis Dent Adair, a first cousin to President Ulysses S. Grant's wife, Julia Dent Grant. Gall also horrified many of Stanley's men by displaying the scalps of at least two of these victims on a hillock near Fort Rice. Because of the prominence of Lieutenant Adair and the open defiance of Gall, Lt. Gen. Philip H. Sheridan decided in 1873 to send a much larger force — more than 1,500 soldiers, including most of Lt. Col. George Armstrong Custer's 7th Cavalry — back to the Yellowstone. Although Gall's name had appeared in federal records as early as 1866, he became a truly national figure by his bold escapades during the 1872 campaign.

The close cooperation between Gall and Sitting Bull in opposing the U.S. Army's 1872 and 1873 Yellowstone expeditions was a factor in the Northern Pacific's decision to delay for six years the construction of its transcontinental rail line through Montana Territory. The railroad's financial collapse, which triggered the national Panic of 1873, was a much more important factor. Nevertheless, the alliance of these two Hunkpapa

leaders was impressive — and it actually went back well before the early '70s. Sitting Bull was 9 years old when Gall was born in 1840 on the banks of the Moreau River in what would become South Dakota. For more than two decades, he watched young Gall grow into an increasingly powerful and fearless warrior. The older man would eventually become a mentor to the fatherless Gall. They both belonged to a prestigious warrior society, the Strong Heart Society, and together they organized an even more prestigious warrior society for their Hunkpapa comrades.

Although Gall's and Sitting Bull's early exploits as warriors were largely confined to counting coup against such traditional tribal enemies as the Crows and Assiniboines, the encroachment of white settlers into their hunting lands in Dakota Territory created a new set of enemies for them. During the early stages of America's Civil War, a bloody Sioux war called the Minnesota Uprising was put down by the state's first governor, Henry H. Sibley. In 1863 Sibley and Alfred Sully, both of whom had been made brigadier generals by President Abraham Lincoln in 1862, invaded the Dakota country. They were in pursuit of the routed followers of the chief Sioux leader of the Minnesota Uprising, Little Crow, who was killed at the Battle of Wood Lake in Minnesota. Sitting Bull and Gall's Hunkpapas, joined by other Lakota tribes, soon became involved in a series of battles on the side of their Sioux brethren from Minnesota. In the summer of 1864, Gall and Sitting Bull fought against a large force of blue-coated soldiers under Sully's command in the bitterly contested Battle of Killdeer Mountain near the Badlands of North Dakota. Two weeks later, both were involved in an attack on a wagon train carrying 150 emigrants to the gold fields of western Montana Territory.

An 1862 gold strike in the Bannack area had already exacerbated the strained relations between Indians and white intruders. It had led to the development of the controversial Bozeman Trail, which was blazed through what would become Wyoming to connect the Oregon Trail with the promising Montana Territory gold fields. The Powder River country, which was directly in the path of the Bozeman Trail, was a treasured Lakota hunting ground wrested from the Crows. When the Army built forts along the trail to protect the gold seekers, the great Oglala Sioux leader Red Cloud besieged two of the forts. The effort by the soldiers at Fort Phil Kearny (in present-day Wyoming) to lift the siege at their post led to the December 21, 1866, Fetterman Fight, in which Captain William Judd Fetterman and approximately 80 of his men perished in an ambush engineered by Crazy Horse and his mentor, Minneconjou Sioux Chief High-Back-Bone (also known as Hump). Six months later, another attack by Cheyenne warriors, known as the Hayfield Fight, showed that Fort C.F. Smith in Montana Territory was also vulnerable.

Gall's participation in these Powder River hostilities was probably limited. In late 1865, he was almost killed while encamped near Fort Berthold, in what would become North Dakota, where he had hoped to trade with Arikara Indians. He was spotted by Bloody Knife, who would later become Custer's favorite scout. Bloody Knife, whose mother was Arikara, had lived in his father's Hunkpapa camp and grown up with Gall and Sitting

Bull. A deep animosity developed between him and Gall and lasted until Bloody Knife's death at the Little Bighorn in 1876. Harboring old resentments against Gall, Bloody Knife led a detachment of soldiers from the fort to Gall's tepee. There, the unsuspecting Hunkpapa war chief was bayoneted in a vicious attack that almost cost him his life.

Largely because of Gall's iron constitution, he survived his wounds to play an important role in the ratification of the Fort Laramie Treaty in 1868. Because of Red Cloud's tenacious campaign against the intrusive Bozeman Trail, this treaty not only closed the forts along the trail but also gave the Lakotas an enormous tract of land, which was later called the Great Sioux Reservation. It encompassed all of western South Dakota, including the Black Hills, and provided annuities for those Indians who agreed to live there. The treaty also set aside as 'unceded Indian territory' the Powder River country in Wyoming. Although most of the southern Lakota tribesmen were willing to live on the new reservation, a number of northern ones, including many Hunkpapas, were not.

The federal government even sent the intrepid Jesuit missionary Father Pierre-Jean DeSmet to Gall and Sitting Bull's Hunkpapa village to discuss the Fort Laramie Treaty. Only an imposing escort of strong-willed leaders, such as Gall and Sitting Bull, saved the popular priest from a possible assassination attempt at this tense meeting. In the end, Sitting Bull and the other leading chiefs refused to attend a July 1868 conference to ratify the treaty.

Sitting Bull did, however, send a delegation headed by Gall to Fort Rice for the conference, probably as a courtesy to Father DeSmet. Gall not only denounced with eloquence the treaty but also threw off his blanket to reveal his ugly wounds that had been inflicted by Army bayonets at Fort Berthold. But a generous offering of gifts induced Gall and the other delegates to agree to the treaty. Many of the older Hunkpapa chiefs were critical of Gall's surprise turnabout. Yet Sitting Bull, who truly understood his valued protg, was not. 'You should not blame Gall,' he remarked. 'Everyone knows he will do anything for a square meal.'

Neither Gall nor Sitting Bull understood the binding nature of a treaty. In fact, at an 1869 meeting on the Rosebud, involving many Lakotas who had rejected the Fort Laramie Treaty, it was decided to organize all nontreaty Indians in an effort to protect their traditional way of life. Sitting Bull was made supreme chief; Crazy Horse, an Oglala warrior who had broken with Red Cloud, became his chief lieutenant; and Lakota leaders such as Gall and Crow King were made war chiefs.

This new coalition of nontreaty warriors proved that it had the will to resist white encroachments during the 1872 and 1873 Yellowstone campaigns. During the 1873 campaign, Gall made himself conspicuous on August 11 in what became known as the Battle of the Yellowstone, his first encounter with Custer. In an intense Lakota and Cheyenne charge up a steep bluff along the Yellowstone, occupied by such members of the 7th Cavalry as Custer's brother Tom, Gall was spotted by *New York Tribune*

correspondent Samuel J. Barrows. The Hunkpapa war chief stood out because of his muscular frame and the familiar red blanket that often marked his presence in any Hunkpapa war party. Gall's pony was shot from under him during the fray, but the agile warrior, according to Barrows, 'leaped on a fresh horse and got away.'

Coincidentally, the equally dashing Custer had his 11th horse shot from under him during that same battle. Incidents such as this one explain why many soldiers called Gall the 'Fighting Cock of the Sioux.'

The determination shown by Gall and other warriors at the Yellowstone created serious problems for the Grant administration. The discovery of gold in the Black Hills in 1874 by an expedition led by Custer, for instance, prompted a gold rush that was in clear violation of the Fort Laramie Treaty. During the winter of 1875-76, the growing number of defiant Indians who gathered in the treaty-sanctioned 'unceded Indian territory' of the Powder River caused great alarm in Washington. Conferences in the Executive Mansion (now called the White House) led to an ultimatum that all these nontreaty bands must return to their agencies on the Great Sioux Reservation by January 31, 1876, or face the consequences. But whether through defiance or because of severe winter weather, most did not return.

To enforce the federal government's ultimatum, General Sheridan planned a three-pronged attack against these obstinate nontreaty bands, who were now joined by many heretofore cooperative Lakotas from the Great Sioux Reservation. Brigadier General George Crook would approach the Powder River country from the south, Colonel John Gibbon from the west and Brig. Gen. Alfred H. Terry from the east. Serving under Terry was the experienced Indian fighter Colonel Custer and his 7th Cavalry. Crook was turned back by Lakota and Cheyenne warriors at the Battle of the Rosebud on June 17, 1876; Gall was probably there, but there is no evidence that he took an active part as Crazy Horse did. Eight days later, Custer and his 7th Cavalry, moving ahead of both Terry and Gibbon, attacked a huge encampment of Lakota Indians and their Cheyenne allies along the Little Bighorn River.

Gall's role at the Battle of the Little Bighorn would become a controversial one. The encampment of Gall and Sitting Bull's Hunkpapas was one of the first to be struck by the three companies under Major Marcus Reno and their Arikara and Crow scouts led by Bloody Knife. In the first stages of the battle, Gall was more of a victim than an active participant; two of his wives and three of his children were killed by the Army's Indian scouts during Reno's surprise attack. Although Gall was involved in the early phases of Reno's ultimate rout, which forced the embattled major to retreat across the Little Bighorn River, the Hunkpapa war chief was denied the opportunity to meet Bloody Knife in combat; Gall's mortal enemy was killed by a Lakota bullet that splattered his blood and brains all over the unfortunate Reno.

In fact, Gall spent most of the early phases of the battle scouting Custer's five companies on the other side of the Greasy Grass, as the Lakotas called the Little Bighorn. His diligent search for the whereabouts of his family also continued. When he finally found the bodies of his dead family members south of the Hunkpapa camp, he was devastated. 'It made my heart bad,' he later remarked. 'After that I killed all my enemies with the hatchet.'

Gall eventually did lead a party of warriors across the Greasy Grass, but only after Crazy Horse and Crow King had preceded him. Following his crossing at Medicine Tail Coulee, Gall led a resolute charge against the dismounted troopers of Captain Miles W. Keough on a slope north of Deep Coulee. His main contribution was to exhort his warriors to stampede the horses of Keough's embattled troopers, thus making it almost impossible for them to retreat. Gall was also one of the warriors who cut down those desperate members of Captain George F. Yates' Company E who were charging down a hill to reach the Greasy Grass. One historian claimed that four or five of Yates' men ran right into the avenging Gall's arms and were promptly killed. The ubiquitous Gall even dashed across Custer Hill on horseback; he participated in the attack where Custer and approximately 40 of his men were killed during their so-called Last Stand.

Although Gall was probably not the bellwether at the Little Bighorn, as many historians have maintained, his observations have shaped today's understanding of the battle. In 1886, at the Little Bighorn's 10-year commemoration, Gall became the first major Indian participant to give his version of this bloody conflict. He related his experience to Captain Edward S. Godfrey, who had fought under Reno on that hot and dusty day. Although much of his rendition was convincing to Godfrey and other Army officers, many Lakota veterans at the Little Bighorn were dubious. For instance, some criticized Gall for focusing on his own deeds at the battle. This rebuke was unfair given the common Lakota practice of not commenting on the battle achievements of others.

Although at 44, Sitting Bull had a minimal role in the combat at the Little Bighorn, he did exhort many younger warriors to fight. Thus, he and Gall were important figures at the battle for different reasons. Sitting Bull's famous vision just prior to the Battle of the Rosebud of soldiers and their horses falling upside down into the Indians' camp had given the Lakotas great confidence at both the Rosebud and the Little Bighorn. Moreover, the two men continued to cooperate during the difficult months after defeating Custer. During the final phases of the Great Sioux War (1876-77), Gall fought alongside his mentor at such battles as Ash Creek and Red Water. Colonel Nelson A. Miles, however, continued his zealous pursuit, eventually forcing the Hunkpapas and their allies to cross the Canadian border. There on the buffalo-rich plains of Saskatchewan, many Lakota Sioux would live in exile for four years.

The early months spent by these nontreaty Indians in Grandmother's Land, as they called this remote western province of Queen Victoria, were reasonably happy. The Canadian government was represented by Major James M. Walsh of the North-West

Mounted Police (NWMP), a strict but fair-minded man. The main problem for the Sioux exiles was the attitude of the U.S. government; it pressured the Canadian authorities in Ottawa to expel these defiant nontreaty Indians or at least discourage them from staying. During the late 1870s, Sitting Bull and Gall remained friends and allies while camped for the most part near the NWMP post at Wood Mountain (just north of Montana Territory). Sitting Bull, however, tended to rely more on his nephew One Bull to help him accomplish his goal of remaining free and content. Curiously, Gall assumed a rather low profile in Canada during much of the time.

More serious problems for these exiles occurred when a decline in the number of buffalo in Canada began to match an earlier decline of bison south of the border. This development soon worsened relations between the Lakotas and such Canadian tribes as the Crees, Bloods and Blackfeet, who also depended on the buffalo for survival. Although the Canadian government was willing to give the Canadian tribes a reservation for their support, it was unwilling to make a similar offer to the Sioux. Because of the buffalo's diminishing numbers, many Lakotas, including Gall and his band, would often cross the international boundary in search of game. These crossings antagonized the U.S. government; more important, they were telling indications that the nontreaty bands were hungry and approaching starvation.

These difficult times made many of the Lakota exiles homesick. A growing number were eager to join their families on the Great Sioux Reservation. Sitting Bull, however, was still opposed to surrendering to federal authorities; he did not want to leave Canada and live under a government he did not trust. In the summer of 1880, Gall, on one of those illegal buffalo hunts south of the border, encountered an old friend, Edwin H. Allison. Allison was driving cattle to Fort Buford in North Dakota. He wanted Gall to arrange a meeting for him with Sitting Bull so he could convince the Sioux leader to surrender. When Allison's eventual meeting with Sitting Bull failed to achieve positive results, he won a pledge from Gall that he would bring 20 lodges of his people to Fort Buford for surrender.

When Sitting Bull heard about Gall's pledge, he heaped bitter criticism upon his old friend. Gall, who had a mercurial temper, exploded with rage. He insisted that the Hunkpapas at their Canadian camp should leave Sitting Bull and follow him to Fort Buford. In the end, the stubborn Sitting Bull was left with only 200 loyal followers, while Gall may have ultimately brought as many as 300 lodges to the fort. After this bitter incident, the two men were never again really close.

Gall's surrender at the Poplar River Agency in northeastern Montana in January 1881 was not a happy one. The commanding officer at the agency, Major Guido Ilges, provoked hostilities in which eight Indians were killed. He had insisted that Gall and his people be escorted to Fort Buford immediately, despite heavy snows and temperatures 28 degrees below zero. The angry Gall arrived at Fort Buford after a four-day march, but his stay there was only temporary. In late May, he, along with most of the one-time

Hunkpapa and Blackfeet Sioux exiles, were sent to their permanent reservation home at the Standing Rock Agency in Dakota Territory. Sitting Bull, who surrendered at Fort Buford in July 1881, was still considered too dangerous; the aging chief was forced to live under guard near Fort Randall for two years before he could join his kinfolk at Standing Rock.

When Gall reached Standing Rock on May 29, 1881, he found a new mentor in Indian agent Major James McLaughlin. McLaughlin, who had a talent for manipulating people, was married to a Sioux woman who helped him understand and control his Indian charges with great effectiveness. He believed in rapidly assimilating Indians into the nation's economy as small farmers; Christianizing them was also a goal he shared with many advocates of Indian reform back East.

Gall proved to be exceptionally cooperative on almost all counts. He served as a district farmer to help educate his people in good agricultural practices. He presided as a judge on the Court of Indian Offenses to acquaint them with the new judicial procedures that would govern their lives. He eventually became a convert to the Episcopal Church, being baptized and later buried by priests from that church. Some historians have felt that Gall's change of heart was clearly the result of opportunism on his part. Others believe that Gall, like so many other Lakota warriors, was just facing reality.

When Sitting Bull arrived at Standing Rock in 1883, he tended to resist McLaughlin's drastic changes, becoming in the process the leader of the tribe's traditionalists. To blunt Sitting Bull's influence, McLaughlin elevated to leadership positions Gall, Crow King and a brilliant Blackfeet Sioux leader named John Grass. These men represented what some historians call the 'progressive faction' at Standing Rock, and were organized to oppose Sitting Bull's more suspicious followers in the reservation's tumultuous politics. This move further frayed the old friendship between Gall and Sitting Bull.

The schism between Sitting Bull and Gall was aggravated when McLaughlin persuaded John Grass and Gall to support the Sioux Act of 1889. This new law divided the Great Sioux Reservation into six smaller ones and opened up the reservation's surplus acres to white homesteaders. Gall's safety was soon menaced by Sitting Bull's angry followers, who resented Gall's support, albeit reluctant, of the controversial Sioux Act. When Sitting Bull embraced the Ghost Dance religion in 1890, a new divisive issue was introduced to complicate the strained relations between the two men.

The Ghost Dance religion was the result of an electrifying vision of a Paiute shaman from Nevada named Wovoka. He claimed that if a dance the whites called the Ghost Dance was performed often enough by Indians throughout the West, their ancestors and the buffalo would return and the intrusive whites would disappear. Lakota leaders such as Gall and Red Cloud were skeptical of the new religion. But Sitting Bull, probably for political reasons, allowed his followers to participate in the Ghost Dance despite

McLaughlin's strong objections. These Ghost Dancers were so intimidating that Gall and John Grass asked McLaughlin for 10 guns to protect themselves and their bands from Sitting Bull's more zealous adherents.

A controversial attempt by McLaughlin's Indian police to arrest Sitting Bull resulted in the stubborn chief's untimely death on December 15, 1890. When some of Sitting Bull's outraged followers joined Big Foot's Minneconjou band in their trek to Pine Ridge, where the most determined Ghost Dancers were, a tragic event occurred. Soldiers clashed with Big Foot's people on December 29, 1890, at Wounded Knee Creek — the last major battle between the Lakota Sioux and the U.S. Army.

Gall's response to Sitting Bull's death is still subject to conflicting interpretations. Until his death in 1894, the leader of Standing Rock's cooperative Indian faction did remain loyal to McLaughlin. But Gall's years with Sitting Bull as a close friend and ally must have meant something to him. Nine months after Sitting Bull's death, he encountered McLaughlin's influential Sioux wife, Marie Louise. He expressed his alarm over the tales of brutality surrounding the bungled attempt to arrest Sitting Bull. Her response was to scold him and warn him not to believe all the stories that were being circulated by the troublemakers who were responsible for the chaos at Standing Rock during the past year.

Gall's forbearance in the face of Mrs. McLaughlin's biting criticisms was as much a result of Major McLaughlin's support for Gall as it was of the respect Gall felt toward the charismatic Indian agent. To minimize Sitting Bull's alleged obstructionism at Standing Rock, McLaughlin had lauded Gall's accomplishments while denigrating Sitting Bull's. The result was that Gall, at the time of his death, was almost as well known as his old mentor. During the following years, however, Gall's renown was dramatically eclipsed by Sitting Bull's. His accomplishments were downgraded almost as much as Sitting Bull's had been during his declining years.

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This article was written by Robert W. Larson and originally appeared in the June 2006 issue of *Wild West* magazine. For more great articles be sure to subscribe to [Wild West](#) [2] magazine today!

## Appendix MODULE 4, A. Shawnee Chief Tecumseh

### Tecumseh Historic Profile

Tecumseh (circa March, 1768 – October 5, 1813), also known as Tecumtha or Tekamthi, (Shooting Star or Blazing Comet) was a Native American leader of the Kispoko Band of the Shawnee Tribe (the Shawnee Tribe consisted of five bands: the Chillicothe, Hathawekela, Kispoko, Mekoche, and Pekowi) and a large tribal confederacy that opposed the United States during Tecumseh's War and the War of 1812. He was born and grew up in the Ohio country prior to the American Revolutionary War and the Northwest Indian War where from birth he was constantly exposed to warfare.

Throughout his life Tecumseh faced the western expansion of the white man into Indian Country. First it was the Englishman and his thirst for land and then later it was the Americans who were ever more land hungry than the British. Tecumseh recognized early in his life, that the westward movement of the white man was a growing threat to not only the Shawnee culture but to all Native American cultures. Tecumseh was known as a brave, skillful warrior, well humored, optimistic, generous, and big hearted Chief (Sugden, p. 327). Tecumseh, based on his life experience during his youth, embraced the pan-Indian<sup>6</sup> philosophy. He maintained that the only way to stem the tide of white settlers moving into Indian Country was for all Native American tribes to join together to stop the whites western expansion. This influx of whites was seen by Tecumseh as contributing to the destruction of Native American culture and the occupation of their lands. To this end, Tecumseh devoted his life's work to bringing all Native Americans together to repel the western expansion of the white settlers. John Sugden notes,

Tecumseh, nevertheless, stands out. Not for the originality of his purpose and principles, but for the sheer breadth of his vision and the energy, determination, courage, and ability he put at its service. His was a task of staggering difficulty. Divided by language, culture, and intertribal enmities and jealousies, the Indians were also politically decentralized. (p. 9)

Tecumseh put forth his pan-Indian efforts for over twenty years starting in 1783 inspired by the Iroquois leader Joseph Brandt. At the same time, his younger brother, Tenskwatawa (also known as the Prophet), was a religious leader and prophet who advocated a return to the ancestral lifestyle of the tribes. Tenskwatawa developed a large following and a confederacy of Tribal groups grew around his teachings. Tenskwatawa's religious doctrine, which Tecumseh whole-heartedly embraced, is described as

The Prophet was not a likeable man, but he was the voice of an oppressed people. Around him the tribes were losing almost everything --- their lands, security, livelihoods, cultures, dignity and self-respect, even their very identities. Their villages were disintegrating, divided by factionalism, drunkenness, violence, and the erosion of communal values. The Prophet told them to be proud of their Indian heritages, proud

<sup>6</sup> Leahy and Wilson Pan-Indian define "Native American movements in which individual tribes came together in an effort to combat political, economic, and social threats to their tribal sovereignty and existence are referred to Pan-Indianism. (Leahy and Wilson, p.127).

and free, to unshackle themselves from the European economies by standing apart from the whites and rediscovering the reliance of the past and the richness of their own ways of life. (Sugden, P. 126).

This led to strife with settlers on the frontier, causing Tecumseh's band to move farther into the northwest and settle Prophetstown, Indiana in 1808. The motivation of Tecumseh and Tenskwatawa in their efforts was inspired, in part, by their allies --- the Wyandots, Delawares, Ottawas, and Ojibwas when they ceded large tracts of Shawnee homeland to the Americans at Fort McIntosh in 1784. Fifteen years later, in September 1809, William Henry Harrison, governor of the newly formed Indiana Territory, negotiated the Treaty of Fort Wayne in which a delegation of Indians ceded three million acres of Native American lands to the United States. The treaty negotiations were questionable as they were unauthorized by the President James Madison and involved what some historians compared to bribery, offering large subsidies to the tribes and their chiefs, and the liberal distribution of liquor before the negotiations.

Tecumseh's opposition to the treaty marked his emergence as a prominent leader. In the Treaty of Fort Wayne, which was signed in 1809, a group of eastern tribes agreed to sell three million acres of land in the Indiana Territory. Tecumseh confronted Governor Harrison on this matter. Tecumseh maintained that the land was the common property of all the many different tribes of Indians occupying Indiana at the time. Land ownership, a cultural value of the white man, was not embraced by Native Americans. He went on to protest to Governor Harrison that the tribes that signed the treaty had no right to sell that land, and that the land was common to all Indian tribes. Tecumseh made it known to the governor that the Indians would fight if any more of their land was taken.

Although Tecumseh and his Shawnee band had no claim to the land sold, he was alarmed by the massive sale of commonly held lands to the whites. This included the Piankeshaw, Kickapoo, and Wea tribes, who were the primary inhabitants of the land. As a result Tecumseh revived an idea advocated in previous years by the Shawnee leader Blue Jacket and the Mohawk leader Joseph Brant, which embraced that all Indian lands was owned by all in common. A belief commonly referred to as the land was "a dish with one spoon." (White, p. )

Not ready to confront the United States directly, Tecumseh's primary adversaries were initially the Tribal leaders of the Pottawatomie, Lenape, Eel Rivers tribes who had signed the treaty. An impressive orator, Tecumseh began to travel widely, urging warriors to abandon accommodationist chiefs and to join him in resistance of the treaty. Tecumseh insisted that the Fort Wayne treaty was illegal; he asked Harrison to nullify it, and warned that Americans should not attempt to settle on the lands sold in the treaty. Tecumseh is quoted as saying, "No tribe has the right to sell [land], even to each other, much less to strangers.... Sell a country!? Why not sell the air, the great sea, as well as the earth? Didn't the Great Spirit make them all for the use of his children?" And, "...the only way to stop this evil [loss of land] is for the red man to unite in claiming a common and equal right in the land, as it was first, and should be now, for it was never divided."

In August 1810, Tecumseh led four hundred armed warriors from Prophetstown (Tecumseh encampment) to confront Harrison at his Vincennes home, Grouseland. Tecumseh and his warriors struck terror the townspeople, and the situation quickly became dangerous when Harrison rejected Tecumseh's demand for common ownership of Tribal lands and argued that

individual tribes could have relations with the United States, and that Tecumseh's interference was unwelcome by the tribes of the area. Tecumseh, a great orator, presented an impassioned rebuttal against Harrison.

(Governor William Harrison), you have the liberty to return to your own country ... you wish to prevent the Indians from doing as we wish them, to unite and let them consider their lands as common property of the whole ... You never see an Indian endeavor to make the white people do this ...

Tecumseh called on his warriors to kill Harrison, who responded by pulling his sword and the small garrison defending the town quickly moved to protect Harrison. Potawatomie Chief Winnemac interceded and spoke to the warriors urging the warriors to leave in peace. As they left, Tecumseh informed Harrison that unless he rescinded the treaty, he would seek an alliance with the British.

Early the next year, a comet appeared (March 1811) across the sky. Tecumseh, whose name meant "shooting star", he and his followers and allies took it as an omen of good luck. Later he met with the Creeks and told them that the comet signaled his coming. Tecumseh claimed he would prove that the Great Spirit had sent him to the Creeks by giving the tribes a "sign."

Later that year Tecumseh again met with Harrison at his home following the murder of settlers on the frontier. Tecumseh told Harrison that the Shawnee and their Native American brothers wanted to remain at peace with the United States but their differences had to be resolved. The meeting convinced Harrison that hostilities were imminent. Following the meeting Tecumseh traveled south, on a mission to recruit allies among the Five Civilized Tribes. Most of the leaders of the Civilized Tribes rejected his appeals, but a faction among the Creeks, who came to be known as the Red Sticks, answered his call to arms, resulting in the Creek War.

While Tecumseh was recruiting members of the Five Civilized Tribes to his movement, Governor Harrison marched up the Wabash River from Vincennes with more than 1,000 men, Harrison's intent was to conduct a preemptive expedition to intimidate Tecumseh's brother, Tenskwatawa or the Prophet, and his followers and to force them to make peace. On November 6, 1811, Harrison's army arrived outside Prophetstown. The Prophet sent a messenger to meet with Harrison and requested a meeting be held the next day to discuss issues. Harrison agreed to the meeting and set up camped on a nearby hill. Early the next morning, Tenskwatawa and the Shawnee warriors launched a sneak attack on Harrison's camp. Known as the Battle of Tippecanoe, Harrison's men held their ground, and the Shawnee withdrew from Prophetstown after the battle. The victorious Americans burned the town and returned to Vincennes.

On December 11, 1811, the New Madrid Earthquake shook the South and the Midwest. While the interpretation of this event varied from tribe to tribe, one consensus was universally accepted: the powerful earthquake had to have meant something. For the at least the Muscogee Tribe it was a sign to support Tecumseh's movement. For many other tribes it meant that Tecumseh and the Prophet must be supported.

The Battle of Tippecanoe was a severe blow for Tenskwatawa, who lost both prestige and the confidence of Tecumseh. Although it was a significant setback, Tecumseh began to secretly

rebuild his alliance upon his return. The War of 1812 broke out shortly afterwards and Tecumseh's efforts soon became embroiled as part of the war between Britain and the United States.

Tecumseh rallied his confederacy and led his forces to join the British army invading the northwest from Canada. Tecumseh joined British Major-General Sir Isaac Brock in the siege of Detroit, and forced its surrender in August 1812. As Brock advanced to a point just out of range of Detroit's guns, Tecumseh had his approximately four hundred warriors parade from nearby woods and circle around to repeat the maneuver, making it appear that there were many more than was actually the case. The fort commander, Brigadier General William Hull, surrendered in fear of a massacre should he refuse. The victory was of a great strategic value to the invaders.

The following year, Commodore Oliver Perry earned a great victory over the British Navy gaining control of Lake Erie and causing the British to withdraw from Fort Detroit. In the process, the British burned all public buildings in Detroit and retreated into Upper Canada along the Thames Valley. Tecumseh and his men followed fighting as rear guards actions to slow the US advance.

In command was Major-General Henry Procter, Sir Isaac Brock's replacement, who did not have the same working relationship with Tecumseh as Sir Brock and the two disagreed over tactics. Procter favored withdrawing into Canada and avoiding battle while the Americans suffered from the winter. Tecumseh was more eager to launch a decisive action to defeat the American army which would allow his people to reclaim their lands in the Northwest. Procter failed to appear at Chatham, Ontario, though he had promised Tecumseh that he would make a stand against the Americans there. Tecumseh moved his men to meet Proctor and told him that he would not go any farther into Canada. He also stated if the British wanted his continued help then they needed to face the Americans at Detroit. In the meantime, Harrison and his army crossed into Upper Canada and on October 5, 1813, won a decisive victory over the British and Native Americans at the Battle of the Thames near Moraviantown. Tecumseh was killed, and shortly after the battle, the tribes of his confederacy surrendered to Harrison at Detroit.

Tecumseh challenged himself with unifying the Eastern tribes in a pan-Tribal effort to remove Americans from the Northwest. Each of the Eastern tribes had their own priorities and interests which made Tecumseh's efforts even more challenging. To the end, Tecumseh made a historic effort to bring the tribes together in a pan-Tribal union and return to historical Tribal cultural values and eliminate the temptations of the Americans. With his death at the Battle of Thames Valley the effort to unify all Tribes ended and the Americans continued their western expansion, but not unabated, at the expense of the Native American Tribes.<sup>7</sup>

The United States Naval Academy in Annapolis, Maryland, has Tecumseh Court, which is located outside Bancroft Hall's front entrance, and features a bust of Tecumseh. The bust is often decorated to celebrate special days. The bust was actually originally meant to represent

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<sup>7</sup> The Tecumseh narrative is a compilation derived from various authors and on-line encyclopedias including, but not limited to, Columbia Encyclopedia, Britannica Concise Encyclopedia, and university websites. Also, this narrative is for model leadership purposes only.

Tamanend, an Indian chief from the 17th century who was known as a lover of peace and friendship, but the Academy's midshipmen preferred the more warlike Tecumseh, and the new name stuck. The US Navy named four ships USS Tecumseh, the first one as early as 1863. The Canadian naval reserve unit HMCS Tecumseh is based in Calgary, Alberta. Tecumseh is honored in Canada as a hero and military commander who played a major role in Canada's successful repulsion of an American invasion in the War of 1812, which, among other things, eventually led to Canada's nationhood in 1867 with the British North America Act. Among the tributes, Tecumseh is ranked 37th in The Greatest Canadian list. An 1848 drawing of Tecumseh was based on a sketch done from life in 1808. Benson Lossing altered the original by putting Tecumseh in a British uniform, under the mistaken (but widespread) belief that Tecumseh had been a British general. This depiction is unusual in that it includes a nose ring, popular among the Shawnee at the time, but typically omitted in idealized depictions. He is also honored by a massive portrait which hangs in the Royal Canadian Military Institute. The unveiling of the work, commissioned under the patronage of Kathryn Langley Hope and Trisha Langley, took place at the Toronto-based RCMI on October 29, 2008.[citation needed] A number of towns have been named in honor of Tecumseh, including those in the states of Kansas, Michigan, Missouri, Nebraska, Oklahoma, and the province of Ontario, as well as the town and township of New Tecumseth, Ontario, and Mount Tecumseh in New Hampshire. Union Civil War general William Tecumseh Sherman, was given the name Tecumseh because "my father . . . had caught a fancy for the great chief of the Shawnees." Evolutionary biologist and cognitive scientist W. Tecumseh Fitch was named after the general, not after Tecumseh. Another Civil War general, Napoleon Jackson Tecumseh Dana, also bore the name of the Shawnee leader.

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