Organizational Leading in the Policing Power - Public Trust Relationship: An Exploratory Mixed Methods Case Study

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ORGANIZATIONAL LEADING IN THE POLICING POWER - PUBLIC TRUST RELATIONSHIP:
AN EXPLORATORY MIXED METHODS CASE STUDY

by

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DISSERTATION

Submitted in Partial Fulfillment of the Requirements for the Degree of
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DEDICATION

Whether by accident or evil intention at the hand of another, this dissertation is dedicated to my fallen police brothers and sisters, whose selfless sacrifice served to strengthen our precarious thin blue line. Most, I knew not. Some, I knew. Few, I knew very well. ALL, have my highest admiration.

Blessed are the peacemakers, for they will be called children of God. ~ Matthew 5:9
ACKNOWLEDGMENTS

I first want to acknowledge that I wrote this section with a profound sense of its insufficiency. As I reflected upon the number of people and their relative contributions to this milestone, over time, it was simply overwhelming. I have surely omitted many worthy of acknowledgement and I have struggled to adequately acknowledge the rest. I am profoundly grateful to you all!

I first want to thank and acknowledge my Lord and Savior, Jesus Christ.

Trust in the Lord with all your heart, and lean not on your own understanding, but in all your ways acknowledge Him and He will make your paths straight. ~ Proverbs 3:5-6

This inquiry was made possible by the police chief who was the focus for data collection and analysis. In addition, the chief graciously allowed a survey instrument to be administered to the organization's sworn personnel. Despite having a full schedule, the chief was always accessible and responsive to my various requests. I am forever grateful for the trust, resources and time that were granted to me which made this research possible.

My dissertation committee members were awesome. Dr. Patricia 'Patsy' Boverie provided me with exceptional guidance in designing this dissertation. In addition, early dissertation seeds were rooted in my doctoral level transformational learning and organizational development courses which she instructed. Her ability to create a safe, diverse and enriched learning environment is one of a kind. She challenged each of us to reach a deeper understanding of ourselves and one another so that we might improve the human condition in some small, but meaningful way.
I am one of many to have benefited from the graciously extended opportunity to have 'coffee with Dr. Bob.' Dr. Grassberger too, was instrumental in helping me achieve this goal. During one memorable conversation while I was grappling with the study construct and struggling to succinctly articulate my plan for data collection and analysis, Dr. Grassberger said, "Oh, you're talking about culture." I must admit that, at that time, I was not altogether convinced. In view of the findings in this study however, his foresight and wisdom were profound. It is no wonder so many took advantage of 'coffee with Dr. Bob.' Most importantly, he was incredibly encouraging and supportive when, after a lengthy post-comprehensive exam hiatus, I elected to move forward on this study.

Dr. Victor Law graciously agreed to join my dissertation committee late in the process due to an unexpected procedural issue which could have derailed my dissertation, had he not been willing to serve on my committee. He also provided astute guidance which has resulted in a significantly improved study.

Dr. Richard Miller has been a mentor for many years. On several occasions, I have had the honor and privilege of working for him. In doing so, I have learned how organizational leadership is thoughtfully conceived, developed and implemented. He is a shoe-leather leader. I have been blessed by the opportunities he has provided me in terms of helping lead several police training and development programs. I think the test of professional admiration is when, in relationship with another, one most wants to please and is likewise uniquely regretful when not achieving that end; this my relationship with Dr. Miller.

Dr. Mary Cooley's wide-ranging expertise in organizational performance and human resource management, as evidenced from her keen recommendations, also served
to strengthen this study. Dr. Cooley too, had a hand in my decision to finally pursue and complete this study. During a brief chat with her and Dr. Grassberger over morning coffee, her words were incredibly supportive and motivating.

Dr. Kerrin Barrett deserves special recognition. To a great extent, the dissertation journey can be a lonely and onerous endeavor. In my case however, the burden was dramatically lightened through the intellectual companionship of Dr. Barrett. Sacrificially and keenly dedicated, she interchangeably wore the hats of reviewer, editor, cheerleader, prodder, advisor, most magnificent superlative alerter, challenger and sage truth-teller...What a blessing!

Chris Larranaga, our department's program manager, was very instrumental in facilitating the many administrative matters to move my study forward. Navigating the logistical hurdles along one's dissertation journey can be difficult, particularly when one is not in close geographic proximity to the university. In my case, Chris Larranaga was a godsend. He was incredibly helpful and responsive throughout the entire dissertation process.

I would be remiss if not acknowledging now retired British Army Officer Major-General Andrew Mackay who was my commander when I served as the training and standards director in the Civilian Police Assistance Training Team in Iraq. He exemplified the best of bold and courageous leadership.

I also want to acknowledge my former police chief, Carlos Maldonado. Chief Maldonado was another mentor who challenged me in both academic and professional pursuits. He greatly assisted me in developing ideas in the early phase of this study.
Some of us are fortunate enough to have one of those lifelong friendships, capable of withstanding lengthy periods of separation by time and distance, or both. For me, Ron Bratton is just that - my lifelong and dear friend. We have seen each other through many of life's joys and sorrows and in the process consoled, encouraged and ultimately, strengthened one another. It has long been clear to me that I am the greater beneficiary in this friendship, as was once again demonstrated by his support throughout this dissertation journey.

I began my state policing career in a small community, far from my hometown. Very naive and largely clueless, I was blessed to be introduced to Mr. Jim Bedford. He became a father figure and mentor to me and a person I held in high esteem. He literally treated me as his son. He highly valued me and our relationship, and was my greatest fan. He taught me how to learn and grow and challenged my ways of thinking about important life issues, man-to-man. Our conversations were instrumental in my eventual return to higher education. Although he passed on many years ago, I frequently attempt to consider, most often feebly I suspect, what his sage guidance might tender in a given dilemma.

Like a number of vocations, I believe policing is a calling. As a young man, attempting to find some direction and clarity about an increasing call to serve in policing, my dear older brother Paul 'Pablo' Weaver gave me a Bible - *The Living Bible* - as a high school graduation gift. To my knowledge, it is the only translation which uses the term *policeman* to describe the act of governing, as revealed by the Apostle Paul in Romans 13:1-5. I miss you, big brother.
In addition to my brother Paul, I was likewise blessed with three supportive sisters: Cathy McCorkle, Karen Goit and Cheryl Goehring. Throughout my adult life, my sisters have been a source of encouragement. Their modeling behavior and unconditional love have been persistent blessings in my life. I would be remiss if failing to specifically acknowledge my gratitude to sister Cathy, for generously serving as my lifeline during my time in Iraq. I have been equally blessed and collectively encouraged by my siblings' spouses. My heartfelt thanks to brothers Sherman, Carl and Marty, and sister Susann. I am also eternally grateful for my nurturing, caring and supportive mother.

I am deeply grateful to my sweet daughters, Kara and Erin. What a blessing it is to be your dad and to be a grandfather to your children. I thank you for your love, support, forgiveness and, most of all, for being such awesome mothers.

Last, and most prominently, I acknowledge the magnanimous contribution of my wife, Teresa Christine Weaver. Teresa tirelessly saw me through the long road from my initial acceptance as a PhD candidate through all the challenges and hurdles involved in its completion. Only those similarly-situated can truly understand the collective stress and weight which arises from a dissertation that remains seemingly suspended in perpetuity. She rightfully and lovingly prodded me from time to time, but never judged or criticized. When I made the decision to move ahead and complete this study, she was amazing! She afforded me much needed space, time and focus. She was long-suffering, forgiving and supportive in every way imaginable and I cannot fathom having reached this milestone had it not been for her unconditional love.
ABSTRACT

This mixed methods study employed an instrumental single-bounded case approach to explore how a policing executive develops and sustains an ethically performing organization, given the phenomenological "policing power - public trust" relationship. Policing is foundational to rule of law and ethical performance in policing is fundamental to developing and sustaining a healthy policing power - public trust relationship. A review of relevant policing literature reveals a history of tension and conflict in this complex relationship. The literature review included relevant social contract theory, history of policing and the policing power - public trust relationship, relational leadership, servant leadership, transformational learning and leadership and change management. Organizational related literature included relevant aspects of organizational learning, performance, change and transformation.
Qualitative interviews were conducted with the policing executive and a quantitative survey instrument was pilot study validated and subsequently administered to the organization's sworn personnel. From qualitative and quantitative data collected, analyzed and integrated, 26 findings emerged. Further analysis of the findings resulted in four emergent themes. Results suggest that in a highly dynamic environment, a pragmatic role-modeling and holistic leadership strategy to drive ethical performance by leveraging a culture of accountability, best practice, and change readiness has potential external ecological application. In turn, ethical performance may generate public trust when an organization leverages innovative capacity to connect with its community through a robust strategy of active communication and transparency.

Although emergent findings or themes may have limited ecological application with similarly-situated chiefs, organizations and communities, external generalizability is not foreseeable. Recommendations for future research include use of a multiple case study methodology to focus on one or more themes identified in this inquiry. A study could be undertaken to identify how leaders in organizations with relatively stable environments lead their respective organizations to perform ethically and build public trust. Given this organization's current success and expected future benefits from having developed and implemented a robust community engagement strategy, a study of similarly effective external communication strategies could be undertaken to identify the relative value and community impact.
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CHAPTER ONE

Introduction

Background

Accountability and discipline in policing is an absolute necessity. Considerable resources are expended, particularly by midsize and large policing agencies in the United States, on the internal policing of its members. Nonetheless, while policing executives rightly rely upon the internal affairs function in the course of holding personnel accountable, by their very design, internal affairs alone is quite incapable of elevating the ethical performance of a policing organization. Most importantly, it is nearly powerless to reverse the wake of damage to public trust that is created by unethical policing performance in the first instance.

Even in cases when disciplinary sanctions have been imposed by policing executives for acts of egregious ethical misconduct, there has been a weak record of them being upheld on appeal. Sanctions are often lessened or overturned entirely, particularly in matters related to employment law, union contracts and other administrative reviews. Further, many policing members do not believe they will be treated fairly when subjected to an internal affairs investigation, nor do many believe that discipline will be administered in an equitable or timely manner. Indeed, there is considerable disdain among many police members for the inordinate amount of time taken to move a complaint from the phase of initial acquisition through the internal affairs processes of investigation, review, and ultimately, to the imposition of disciplinary measures.

Notwithstanding the significant amount of resources dedicated to the internal affairs function, the public, too, has grown increasingly skeptical that the police are
capable of holding their personnel accountable and for punishing them accordingly. The introduction and expansion of civilian oversight bodies, attempting to bring accountability and transparency to policing, has been driven by the collective frustration of external stakeholders, including governing leaders and citizens alike.

Concern over public trust in government extends across city, county, state and federal levels and garners considerable attention in our nation's discourse. A significant portion of this discussion centers on the perceived failure of leaders and other civil servants to uphold their respective fiduciary and oversight responsibilities. While public trust is an enormously important matter across the myriad of public sector vocations, it has greater significance within the policing industry. Policing is singularly unique as the only public entity possessing lawful authority to summarily take another’s life, providing the action is consistent with the Supreme Court guidance on the lawful use of deadly force. Statistically, very few policing interactions result in the use of deadly force. However, the very existence of such extraordinary power imputed to law enforcement from its citizenry, in the form of a sacred public trust, commands a reciprocating level of ethical behavior worthy of this trust (Tyler, 2001). The ‘real world’ capacity of law enforcement to carry out its mission, and the continued willingness of citizens to entrust the police to do so, is therefore dependent upon the health of this unique relationship (Stoutland, 2001).

It follows then, that those possessing legalized power to take life and liberty should be rightly held to an exponentially higher standard of ethical behavior (Delattre, 2006). Since expectations of police conduct from policing stakeholders is one of ethical excellence in every instance, the argument for strong ethical leadership logically leads to
a conclusion that policing executives must organizationally, develop, influence, and nurture this indispensable behavior in a manner befitting that expectation (DeLucca, 2017; Fischer, 2009; Fitch, 2014; Fleming, 2015; Normore & Fitch, 2011; O'Malley, 1997; Stamper, 2016).

Ethical policing has its roots in seventeenth and eighteenth-century political philosophy. Several thinkers, including Thomas Hobbes and John Locke, significantly contributed to the development of modern era thinking on the matter of the individual and the sovereign, with respect to the relative role and responsibility each assumes in the relationship. Most notably, John Locke's contribution to "social contract theory" influenced the crafting of the United States Constitution and was persuasive in positing that the locus of power resides in the people and not the sovereign [the state], unless limitedly entrusted to the sovereign (Jos, 2006). Locke believed passionately that rights to life, liberty and property were imputed by God to every individual. Government, he believed, should be relegated to ensuring the protection of those individual rights ("American History," 2012). Disconcerting to this designated governmental responsibility for Locke, and also for subsequent framers of the U.S. Constitution, was the difficult task of empowering the sovereign to punish transgressions while simultaneously holding it accountable for the methods and manner in which the transgressor would be held to account (Jos, 2006).

The influence of social contract theory proved foundational in the development of the U.S. Constitution during a time of great concern that a similarly oppressive British form of governance could take root in the new colonies. In the administration of government generally, and in policing specifically, the social contract may be envisioned
along a pendulous continuum. On one side, is the government – the sovereign entity –
which has been established by the people to safeguard their well-being. On the other side
is the collective of individuals, willingly forgoing some rights and freedoms by entrusting
them to the government in return for the government actualizing its reciprocal
responsibilities in providing requisite safeguarding functions.

For policing, the social contract is manifested most prominently in the United
States Bill of Rights. It is indeed noteworthy that the *law enforcing* function in policing is
embedded in the Bill of Rights, primarily through the Fourth Amendment which instructs
the government that its constituents are to be free from unreasonable search and seizure.
In the criminal justice system, Fourth Amendment language is widely regarded as
prescient in both its articulate brevity to guide law enforcement, prosecutors, and the
judiciary alike, as well as for its enduring capacity in fulfilling the framers' intention to
restrict the power of government through the Constitutional ‘separation of powers’
framework. The Fourth Amendment language is as follows:

The right of the people to be secure in their persons, houses, papers, and effects,
against unreasonable searches and seizures, shall not be violated, and no warrants shall
issue, but upon probable cause, supported by oath or affirmation, and particularly
describing the place to be searched, and the persons or things to be seized.

Whereas stakeholder expectations of policing behavior will vary as a consequence
of their uniquely lived experiences, there has been near-consensus in United States public
opinion polling on the expectations regarding conduct of police officers. It is expected
that police officers should be proficient in exercising their safeguarding and
peacekeeping duties, but in a manner which minimizes the use of power and maximizes
the ethical character traits of self-discipline, compassion, kindness, mercy, and care (Jetmore, 2005).

There is little dispute relative to the critical role ethics plays in the policing vocation, particularly given the power ascribed as a function of social contract theory to the policing community vis-à-vis the \textit{"policing power - public trust"} relationship. (Delattre, 1996; Jermier, Slocum, Fry & Gaines, 1991; Jetmore, 2005; Simmons, 2008; Tyler, 2001). Yet, despite the importance of ethics in the profession, most police departments have little to no ongoing strategic, systemic or organizationally driven, ethics-focused programming. Performance-based police training and development programs, specifically incorporating an ethical foundation or framework are also rarely found. Policing ethics has far-too-often become a topic largely relegated to academy trainees, delivered via assorted piecemeal in-service instruction, and/or administered as a remedial component of sanctions levied in misconduct cases. In the former, ethics often remains relegated to a first-week, one-day class. Moreover, academy trainees typically lack real-life policing experience and therefore possess insufficient capacity for cognitive application. Most forms of police in-service training, including ethics, tend to be conducted as a matter of minimally-required continuing education training. Alternatively, ethics training may be developed subsequent to unethical performance whereby a one-off ethics course is deemed preventative for similarly situated officers.

The policing executive's responsibility is immense and compounded by the reality that countless policing interactions, including those on the level of the individual, the group, and the organization, have the unique potential to create lasting perceptions, both negative and positive. For example, nearly everyone remembers their first traffic stop.
For most people, this first interaction was a rather benign encounter with police. What is remarkable however, is that such an event is typically memorable years later with surprising clarity. From a knowledge-management perspective, this should be instructive to the policing executive community in terms of the enduring impact officers’ interactions have on the lives of those they serve.

**Problem**

A contemporary and compelling public interest issue in the United States is the unsettling negative status, or perceived negative status, of the policing power - public trust relationship. The precarious relationship between police and the public is related to several circumstances. Notably disconcerting negative policing actions and circumstances over time, have cumulatively aggravated the relationship. The advent of cable news has also been a contributing factor. In a fiercely competitive environment for advertising dollars and consumers, cable news has been motivated to fuel viewers’ insatiable appetite for dramatic news coverage by repeatedly cycling concerning policing actions. In response, policing executives have expressed concern with what they believe is disproportionately negative policing coverage. They have argued that benevolent and heroic policing actions far outweigh instances of unethical policing performance, yet garner little media attention.

Public trust in the police has been further eroded by the prevalence of widespread video recording and dissemination capability through smart phones and social media (Fitch, 2014). Today, nearly every adult and adolescent possesses a smart phone whereby there exists the ability to quickly and effectively capture video and often audio too, depending on proximity to a given event. It is significant to note however, that a random
bystander’s video of an active event typically commences at some point after the event has begun. Therefore, in most cases, it fails to capture potentially relevant foregoing factors or contributing preconditions related to the incident. Such videos are then often circulated, intentionally or unintentionally neglecting coverage of mitigating factors, or worse, knowingly incorporating misleading or completely contrived context. When such videos are disseminated on social media without important context, they serve, in effect, as *prima facie* evidence of wrongdoing. That is, in the absence of accompanying facts or evidence to refute them, they likely create a presumption of fact for many consumers.

Certainly, footage depicting police officers either engaged in, or perceived to be engaged in, matters relating to abuse or misuse of power serve only to heighten any existing anger, fear, and/or anxiety that citizens may be harboring, and, ultimately, serves to diminish public trust in policing at-large. This is particularly true in many midsize and larger cities (Delattre, 2006; Fitch, 2014). One prominent example of this, among many, is the circumstances involved in the deadly use of force in Ferguson, Missouri in August 2014. Despite the irrefutable criminal and civil rights findings by the state and federal government respectively, that the use of deadly force by a Ferguson police officer was justifiable, subsequent public outrage and protests were rooted in an equally irrefutable United States Department of Justice finding that the Ferguson Police Department engaged in a ‘pattern or practice of racially-biased policing’ (United States Department of Justice [USDOJ], 2015). The practices cited for this conclusion included a series of unreasonable detentions and arrests of ethnic minorities, the application of unreasonable use of force, and interference with the right to free speech (Stamper 2016, & USDOJ, 2015). Although there is a troubling historical record on the matter of policing power and
public trust among racial minorities, the policing power - public trust relationship in the context of this study is considered more broadly (Fitch, 2014).

Policing is foundational to rule of law. Police officers have been entrusted with unique powers, creating a fiduciary relationship in which it should rightly be held accountable to an ethical standard of excellence in performing the full complement of entrusted policing activities. One of many long-standing, power-entrusted policing realities is that illegal and/or unethical conduct not only questions police legitimacy in the locality where it occurs, but it often impacts police organizations and officers on a national level. The common denominator is the universality of the power - trust relationship inherent in our nation's 'policing - citizenry' construct.

Police officers in the field most often directly transact the policing power - public trust relationship with members of their community. However, the responsibility for understanding, developing, and ultimately improving this relationship in a given organization, attaches to the policing executive. Today, executives must devote much more than merely sporadic attention to the matter of ethical policing pursuant to a rising circumstance or event of the day (Fleming, 2015). Executives must relentlessly strive to create and develop a vision, an organizational strategy and an organizational commitment which incorporates ethics as an integral component (Pearson-Goff, & Herrington, 2013). It is the responsibility of the policing executive to sufficiently direct the full complement of organizational resources to develop and sustain an ethically-performing organization (Fischer, 2009).

Stamper (2016), a widely-respected policing executive of one of America’s largest cities (now retired) and an accomplished author, asserts that the current model for
dealing with police accountability needs to be transformed. According to Stamper, given
that the United States has more than 17,000 policing agencies collectively employing
nearly one million officers, police accountability can no longer be entrusted to local,
county, or state oversight. In making his case, Stamper cites repeated and widespread
instances of unethical policing. He argues that the inability of disparate policing agencies'
leadership to adequately address the problem in a meaningful and sustainable manner
necessitates "a demand for an exhaustive overhaul of the institution, as we know it" (p.
274). Therefore, he believes, the United States Department of Justice must assume
responsibility for oversight of all policing organizations in the country.

The evidence strongly suggests that public trust of policing, particularly as it
pertains to ethical performance, is a significant problem. Perhaps Stamper is correct
regarding the need to overhaul the institution to most effectively address this issue.
However, there are policing executives in midsize and large cities who possess
demonstrable insight and experience in successfully leading an organization through
change and development. Consequently, there is evidence to support the potential for
other organizational leaders to leverage these proven, internally-led management models.
This is in stark contrast to the argument that structural change and accountability can only
be achieved by over-laying a detached federal entity, one which is arguably ill-equipped
to manage such an undertaking, structurally and otherwise. Therefore, this exploratory
study attempts to frame these issues and to develop a greater understanding of what
works with regard to leading the ethical performance of an organization to enhance public
trust. This research is explored primarily through the wisdom of a successful policing
executive's experience in directing an organization's ethical performance.
Purpose

While there is a body of literature on policing leadership and policing ethics, there is a significant knowledge gap, evident in the literature, which this study sought to explore. There are no studies having examined how a policing executive develops and sustains an ethically-performing organization. In their systematic review of policing leadership literature, Pearson-Goff and Herrington (2013) cited in their conclusion the notable absence of:

Research assessing the impact of leadership on organizational or operational outcomes. At this stage, then, and despite the work done on this topic to date we still have little understanding of 'what works' in police leadership beyond what others perceive to be effective (p. 21).

Given that ethics is a core competency in policing, through the profession's principled and foundational power - trust relationship, it is inextricably linked to performance (Creswell, 2009; Delattre, 1996; Delattre, 2006; Fitch, 2014; Fleming, 2015; Jetmore, 2005; Normore & Fitch, 2011; O'Malley, 1997). This case study explores a current policing executive's experience in directing an organization's ethical performance with the intent of exploring the phenomenological power - trust relationship between policing and its citizen stakeholders.

The foregoing discussion and related literature, as examined in Chapter Two, intersect to generate the following research question, henceforth guiding the remainder of this inquiry.
Research Question

How does a police executive develop and sustain an ethically performing organization, vis-à-vis the policing power - public trust relationship?

Significance of Study

This study contributes to the existing body of literature in the field of ethical policing and, with intentionality, examined the policing status quo. As a function of the exploratory construct of this study, its greatest value may emanate from the precursory findings and themes. It is anticipated that these will serve to stimulate further research in the field, leading to an expansive and systematic understanding of how police executive leaders might develop and sustain organizational ethics in policing.

It is also anticipated that this research could stimulate useful conversation among policing executives regarding how, organizationally, an ethical leader might work to closely align officers’ conduct with the rightful expectations of community stakeholders. In this way, dialogue may be stimulated as to how ethical leadership models can influence subordinate officers’ behavior, such that officers conduct themselves in a manner consistent with, and worthy of, the policing power - public trust relationship. Developing a greater understanding of this complex phenomenological relationship, from the collective perspectives of an organization's sworn personnel, combined with the views elucidated by an ethical-leading police chief, should be instructive for policing executives.

Study findings may spark useful dialogue among decision-making stakeholders in the policing industry. In this way, these decision-makers would be able to provide their
members additional guidance, mentoring, support, and accountability in order to raise their potential and capacity to persistently conduct themselves in a manner that serves to enrich the policing power - public trust relationship. In addition, the conceptualization of emergent themes in this study could be instructive for policing executives, planning to undertake fundamental or transformative change initiatives in their respective organizations.

**Methods Overview**

This inquiry was conducted using an exploratory mixed methods single case study, with a sequential QUAL + quan + QUAL design (Creswell, 2009; Miles & Huberman, 1994; Miles, Huberman, & Saldana, 2014). The inquiry began by conducting a qualitative, face-to-face, semi-structured interview with the chief of police in a midsize city in the western United States. All organizational sworn personnel were given the opportunity to participate in the survey to determine the relative congruity among the chief’s ethical leadership intent and the understanding and willingness of personnel to execute that intent. The survey instrument was predominately formatted with Likert scale choices. Following the survey analysis, a second semi-structured interview was conducted with the policing executive. Finally, a comprehensively-synthesized analysis of all inquiry data was conducted. The findings of these analyses are articulated in Chapters Four and Five of this study.

**Researcher Positionality and Bias**

Given the topic of this dissertation, and having developed a passion for policing ethics over the course of thirty years in the profession, it is appropriate to discuss positionality and researcher bias. Foundational to the notion of the researcher’s
involvement in this mixed methods research is an understanding that it necessarily includes articulating relationships of researcher-participant and researcher-topic (Jones, Torres, & Arminio, 2006). Further, appreciating the nature and perspectives of given insider/outsider relationships is instructive for restraining the researcher’s bias relative to gathering, analyzing and interpreting data (Fine, 1994). Positionality and researcher bias are addressed more comprehensively in Chapter Three.

**Assumptions**

This mixed methods design is qualitatively weighted and necessarily relies heavily on subjective analysis to provide understanding and produce meaning. It is assumed that the policing executive was open, candid and thorough in responding to semi-structured primary questions and follow-up probative questions, in both interviews.

The researcher also assumed access to all names and corresponding business e-mail addresses for all department sworn personnel involved in the study. It was also assumed there would be no unforeseen obstacles or challenges relating to disseminating and collecting survey responses. There was an additional assumption that the survey response rate would be adequate. To enhance the likelihood of an optimal response rate and forthcoming responses, assurances of anonymity, confidentiality, and voluntariness were explicitly provided. Finally, it was assumed that both qualitative and quantitative collected data would be sufficiently robust to conduct analyses as planned.

This research was undertaken with the expectation that findings and themes could potentially provide some level of scalable application to similarly-situated policing organizations and their policing executives.
Limitations

Findings may or may not provide for transference across similarly-situated organizations and communities, but generalizability in the scientific sense, is not foreseen. Morris (2008) identified the difficulty of generalizing study findings to another venue. The challenges he cited include consideration for the uniqueness of each community and their distinct political realities. Survey specific findings and themes developed as a function of data collected. It is unknowable what data might have been gleaned from non-participants.

Scope and Delimitations

The scope of this study was confined to a single-bounded case study construct, exploring how a policing executive develops and sustains an ethical performing organization in a midsize city in the western United States. While one policing executive represents a tiny fraction of the total policing executive population, it nonetheless affords a greater depth and richness in exploring the research question. Semi-structured interviews with the police chief were used to gather and analyze data. A survey instrument was utilized to gather and analyze data from sworn police personnel. To ensure the study was completed, given limitations in resources and time (Ostler, 1996), it did not include a data collection instrument external to the organization.
Organization of the Study

Chapter Two includes a review of three areas of literature and selected sub-components under each. Given the exploratory methodology employed and the large body of literature available on social contract theory, leadership, and organizational development, this literature review is study-specific in scope. Therefore, this review is limited to pertinent literature, and to sources of information and writings of established experts in their respective fields of practice and study.

Chapter Two provides a review of related literature as follows:

1. Social Contract Theory
   A. History and Relevant Theorists
   B. History of Policing and Relationship to Policing Power - Public Trust
   C. Power – Trust Relationship

2. Leadership
   A. Relational Leadership
   B. Servant Leadership
   C. Transformational Learning and Leadership
   D. Change Management

3. Organizational Development
   A. Organizational Learning
   B. Organizational Performance
   C. Organizational Change and Transformation

In Chapter Three, the methodology includes an underlying philosophical foundation discussion. Also discussed is the research design along with case-specific information related to site, participants, data collection plan, data analysis, positionality,
and the assurance plan for goodness and trustworthiness. Findings and analyses are presented in Chapter Four. Chapter Five includes a discussion related to interpretation, context, and implications of emergent findings and themes; limitations and recommendations for further research are presented.
CHAPTER TWO

Review of Related Literature

Introduction

The purpose of this chapter is to develop a contextual framework for the study by examining pertinent literature. This study will explore the phenomenological power-trust relationship between policing and its citizen stakeholders; this exploration is undertaken through a current policing executive's experience in directing an organization's ethical performance. There is a collective abundance of information and literature on social contract theory, policing history, leadership and organizational development which all serve to inform ethical performance in policing. Therefore, extant literature will be limited in breadth and depth of examination to those most relevant to this study. Yet, while some sections in this review are more conducive to broadly examining formative thought in a given discipline, others, such as policing history, require greater analytical rigor. This review includes a compilation of primary sources, secondary sources and, where appropriate, tertiary sources.

The chapter will include three critical and overlapping sections, each composed of subsections designed to focus on pertinent, informative literature. The first of these sections will include an overview of social contract theory and how it has given rise to the institution of policing. Then, a history of policing is presented together with legal and ethical decisions and actions, including a number of corresponding, often lasting, consequences and ramifications relative to ethical performance. The first section of this literature review will conclude with a brief overview of the phenomenological
underpinning of this inquiry relating specifically to the policing power - public trust relationship.

The second section consists of leadership literature, and specifically, an examination of pertinent policing leadership literature. Relational leadership, servant leadership, transformational learning and leadership, and change management/leadership will serve to inform the leadership portion of the study. The final section will include pertinent literature related to organizational development. For the purpose of this study, the disciplines of organizational learning, organizational performance, organizational change and organizational transformation will be examined under the umbrella of organizational development. The extent to which these three literature components and subsections converge and effectively interconnect is representative of an Ethically-Performing Police Organization (EPPO), as illustrated in Figure 1.

Figure 1. Venn Diagram, Illustrating Literature Review Framework.
Social Contract Theory

*Thomas Hobbes*

Ethical policing and police leadership has its roots in political philosophers from the 17th and 18th centuries, many of whom contributed significantly to the development of modern-era thinking on the matter of the individual and the sovereign with respect to the relative role and responsibility each assumes in the relationship (Fitch, 2014). In his seminal text *Leviathan*, English philosopher Thomas Hobbes introduced the modern-era version of social contract theory (Jos, 2006; Riley, 1982). Hobbes believed that man is a wolf unto his fellow man (Riley, 1982). Rejecting Machiavelli's assertion that there are only two types of people - the prince and the vulgar - Hobbes viewed all men as princes in the sense that each pursues greed and power (Riley, 1982). This alone he argued was sufficient rationale for the existence of rulers, without which mankind would live in a state of nature which, for Hobbes, would equate to living in perpetual state of fear (Jos, 2006; Riley, 1982).

Hobbes reasoned that citizens would accept a ruler, to the extent that the ruler was capable of maintaining order, because life would otherwise be intolerable (Jos, 2006; Riley, 1982). Any ruler, as a consequence of possessing power, would be legitimate and deserving of obedience for the duration of his holding power (Riley, 1982). Therefore, Hobbes also reasoned that tyranny was justifiable in the name of maintaining order, as the alternative state of nature was simply too terrible (Jos, 2006). Hobbes' view of contract was that only those without power were beholden to it. That is, those without power were the party receiving a benefit or favor in order to avoid the consequences of nature which was an inferior outcome (Riley, 1982). While in Hobbs’ view, there were
no obligations on the part of the ruler or government, he deemed this relationship, a social contract (Jos, 2006; Riley, 1982). Some critics of Hobbes posit that not every human motive is ground in power, greed, selfishness and fear (Riley, 1982). Further, not all people are so entirely void of self-confidence that they would willingly confer so much unlimited power to the sovereign (Riley, 1982).

Given the historical account and what is generally known relative to the US winning its independence, whereby power resides in the people and through their elected representatives, Hobbes' reasoning was wholly rejected. Indeed, at the core of America's birth is the notion of liberty and freedom, foundational in Constitutional framework ("American History," 2012).

Jean Jacques Rousseau

Unlike the 17th century English philosophers Hobbes and Locke, Rousseau was an 18th century Frenchman. Unlike Hobbes and Locke, Rousseau argued that in addition to the rational side of one's being, there is an equally important communally-related, emotional component (Jos, 2006; Riley, 1982; Rousseau, 1762/2010). The longer people live, he surmised, during which they develop and discover their personalities and learn emotions, the greater the realization of their need for community (Riley, 1982; Rousseau, 1762/2010). Interestingly, when connecting his philosophy to what Hobbes and Locke wrote, he argued community preeminence from a rational and logical orientation (Riley, 1982; Rousseau, 1762/2010). He asserted that communities are created by explicit agreement through the collective and deliberate acts of individual will and voluntarism; therefore, the individual implicitly subordinates his/her self-interest to the collective interest of community (Riley, 1982; Rousseau, 1762/2010). On this point of voluntary
communal locus of origin, Rousseau diverges from individual voluntarism, as espoused by both Hobbes and Locke (Locke, 1690/1980; Riley, 1982; Rousseau, 1762/2010).

Rousseau believed the state and the people were essentially one, as a function of their common customs and norms. Moreover, he believed that through the development of social bonds, ethical conduct was socially produced (Jos, 2006; Rousseau, 1762/2010). He reasoned that at the point whereby individuals voluntarily elect to belong to a community, they have implicitly decided as well that they should rule themselves (Jos, 2006; Riley, 1982; Rousseau, 1762/2010).

According to Riley (1982), for Rousseau this equates to "the consequence of obligation" (p. 99). In this way, individuals form communities which, by their nature, collectively form a state. Thus, having made the state as desired, people of the state should maintain control over it or elect to change it as they deem necessary (Jos, 2006; Riley, 1982; Rousseau, 1762/2010). In this popular sovereignty configuration, rulers are merely messengers of the popular will, simply carrying out the wishes of the people; including, if the people so desire, the removal of the messenger from office (Riley, 1982).

Critics claim however, that a significant pitfall in Rousseau's scheme is that the continuation of the system is based on gaining and maintaining consensus within an entire population (Riley, 1982). In response, a counter-argument suggests that since all people control the government, they would not, therefore, be inclined to make things difficult for themselves (Riley, 1982). With popular sovereignty, the general will of the people – over all commonly held interests – prevails over the will of an individual, or sets of individuals (Rousseau, 1762/2010).
John Locke

Locke agrees with Hobbes that people are motivated by selfish desire, but Locke does not equate selfishness with unavoidable fighting as Hobbes does in his ‘humans-as-wolves’ analogy (Locke, 1690/1980; Riley, 1982). Locke even questioned the premise of the wolf, arguing that those motivated to fight would be least likely to survive; an idea inconsistent with self-preservation (Locke, 1690/1980; Riley, 1982). For Locke, rational thought and reasonable, practical conduct was entirely possible, even absent a sovereign structure to keep it ‘in check’ (Locke, 1690/1980; Riley, 1982). However, Locke did believe that the individual was essentially motivated by selfish desire and, therefore, his ability to reside in the state of nature alone was problematic (Jos, 2006; Locke, 1690/1980; Riley, 1982). Therefore, he ascribed to the belief that living with a sovereign provides greater benefit than living without a sovereign, for which Locke, unlike Hobbes, found sufficient (Locke, 1690/1980; Riley, 1982). Locke agreed with Hobbes on the point that government is founded on a social contract. However, for Locke, the sovereign was not only bound by contract, but he believed that a sovereign should be overthrown if it were to violate social contract tenets (Jos, 2006; Locke, 1690/1980; Riley, 1982).

Locke believed that people would willingly support the sovereign, but only if the sovereign, in turn, protected property and maintained law and order (Arthur, 2002). This type of binding contract amounts to a constitution, fundamentally establishing the powers and duties of the sovereign and its citizens (Locke, 1690/1980; Riley, 1982). Bound by this agreement, Locke believed in limited government based on the principle that every person is entitled to rights by their state of nature, as an individual, and not as a function of, or from, the sovereign (Jos, 2006; Locke, 1690/1980; Riley, 1982). Rather, he
believed, natural rights came directly from God, as a function of having been born; these included the right to life, liberty and property ("American History," 2012). Critics of Locke point out that when he referred to people and rights, he was referring only to those who mattered politically, that is, the white, middle and upper social classes (Jos, 2006).

Locke's version of social contract theory was highly influential during the US revolutionary period was instrumental in framing the Constitution. Given the level of distrust in the sovereign by Constitutional Framers, their agreeing to entrust it with anything signified concurrence with Locke's pragmatic understanding that a sovereign must be formed to look after the interests of all (Jos, 2006). Although entrusting the sovereign with such power was born of necessity and utility, it was nonetheless a highly courageous act to empower the sovereign to punish transgression, while simultaneously holding the sovereign accountable for the methods and manner in which to sanction the transgressor (Jos, 2006).

Hobbes, Locke, and Rousseau concurred that a social contract was a function of will and voluntarism through which the sovereign obtained legitimacy (Riley, 1982). However, each viewed the nature of power and legitimacy quite differently (Riley, 1982). For Hobbes, the sovereign, by the very nature of possessing power, was, in fact, sovereign (Riley, 1982). For Rousseau, the sovereign legitimately obtained power as a consequence of a willfully-developed sovereign (Riley, 1982). Locke argued that power resides in the individual, and that any power conferred to the sovereign exists and continues only through permission of individuals (Riley, 1982).
Social Contract Theory and A Theory of Justice

John Rawls

Prior to concluding an overview of pertinent social contract theory literature, influential 20th century theorist John Rawls expounded on the matter of justice. His work serves as the manifestation of the social contract in the application of policing. According to Rawls, justice, "establishes a legitimate basis for democratic governments" (Engel, 2005, p. 448). Rawls articulated three foundational principles of justice as punishment, legitimacy and fairness (Engel, 2005: Rawls, 1999). Across America, individual perspectives of justice and injustice are likely attributable, at least in part, to matters related to these principles (Engel, 2005; Rawls, 1999). According to Engel (2005), the manner and extent to which one perceives justice "is likely to vary dramatically based on individual experiences, collective attitudes, media influences, along with individual and neighborhood demographic and economic factors" (p. 447). When inconsistencies between citizen expectations and policing conduct arise, they have been interpreted as injustice by the former (Engel, 2005; Rawls, 1999). This gap has been established throughout theories of criminal justice (Engel, 2005).

Social Contract Theory Summary

It is illustrative to consider the social contract in policing along a pendulous continuum. On the one side lies a collective sovereign, established and legitimimized by permission of the people to safeguard life, liberty and property. On the other side is a collective of individuals, each voluntarily forgoing some rights and freedoms in return for sovereign protections. The middle ground represents ongoing tension and dissonance.
Theoretically, ongoing discussions between these parties culminate with one or more actions: 1) Each party agrees to move the pendulum slightly to one side or the other; 2) External stakeholders with requisite power, such as the US Supreme Court, might dictate pendulum movement; and 3) A stalemate is maintained until such time as either (i) one party willingly concedes movement; (ii) an external sovereign actor mandates movement; or (iii) circumstances convince both parties that movement is beneficial. The events of September 11, 2001 provide a good example of the latter. Initially, a significant amount of new safety and security measures, although unprecedented, were widely regarded as necessary and prudent, and were subsequently implemented with little opposition. However, during subsequent years, absent further attacks, voices from many citizens, civil liberties groups and media entities began questioning the continuation of many enacted safeguards.

"At the center of this social contract is law enforcement, which has long been the most visible form of government with its unique, sanctioned ability to control life and liberty among citizenry within legal boundaries" (Dye, 2015, p. 29). Policing receives its mandate to enforce legislatively-crafted substantive laws through procedural, due process law (Cole & Smith, 2005). It is in and through procedural justice wherein the phenomenon of policing power - public trust is primarily transacted and from which those innumerable interactions consummate ethical policing performance or the lack thereof (Cole & Smith, 2005; Delattre, 2006; Engel, 2005; Fleming, 2015; Jetmore, 2005; Normore & Fitch, 2011; Rawls, 1999; Tyler, 2001).
History of Policing

Introduction and Background

As a consequence of the general fear of an oppressive central government, the US Constitutional Framers relegated the responsibility for safeguarding communities to the individual states as posited in the Bill of Rights. A variety of informal methods, often approximating the British-adopted watchmen concept (which was a policing predecessor model) were employed to safeguard communities in the period following the ratification of the Constitution (Cole & Smith, 2005; Stamper, 2016; Walker & Katz, 2002).

Throughout the Colonial period, families and neighbors functioned as mechanisms to foster social control (Walker & Katz, 2002).

However, in the 19th century, a significant influx of immigrants in a relatively short period of time, coupled with robust industrial growth, created a host of new issues and brought about the need for formalized policing (Cole & Smith, 2005; Stamper, 2016; Walker & Katz, 2002). This need was particularly evident in large urban centers and in the Westward expansion (Walker & Katz, 2002).

In the post-Revolutionary War period, British citizens too, as subjects of an authoritarian monarchy, were wary of government overreach. Similarly, too, to their American counterparts the British were experiencing societal problems related to increasing industrialization and urbanization (Stamper, 2016). The British citizenry were most afraid that, "corruption, tyranny, and militarization" (Stamper, 2016, p. 23), would arise if a formalized police force was established.
Ultimately, in 1829, Sir Robert Peel was successful in persuading the British Parliament to institute a formalized London Metropolitan Police (Cole & Smith, 2005; Stamper, 2016; Walker & Katz, 2002). In constituting the London police force, Peel did so in a fashion that distanced its executive and police officers from undue political influence (Stamper, 2016). He also transformed the policing entity from its unaccountable and nonchalant predecessor to one which was morally-based and accountable (Stamper, 2016). Demanding this shift in conduct performance resulted in firing approximately 79% of those initially hired (Stamper, 2016). According to Manning (1977), Peel's mandate was to:

1) Prevent crime without using repressive force; 2) Maintain public order by nonviolent means, using force only as a last resort to obtain compliance; 3) Reduce conflict between the police and public; and 4) Show efficiency through the absence of crime and disorder, rather than through visible police actions (p. 82).

Peel developed a set of nine virtuous principles to guide police officers in the ethical performance of their duties, as detailed in Table 1 (Stamper, 2016, p. 28).

In the early nineteenth century, US citizens were reluctant to codify formalized policing. Continued and pervasive fear of an oppressive government which might restrict civil rights and liberties remained a post-Revolutionary War reality. However, unprecedented levels of social disorder resulting from rapidly expanding population densities, and exponential levels of ethnically-alienated immigrants necessitated an adoption of formalized policing (Cole & Smith, 2015; Stamper, 2016; Walker & Katz, 2002).
Table 1: Sir Robert Peel's Nine Principles of Policing (Stamper, 2016, pp. 25-28).

Unlike the British design which was intentionally constructed to disconnect policing operations from undue political influence, the US model was crafted to function directly through localized self-governance. Consequently, it was quickly immersed in politics as detailed in the following section (Stamper, 2016). The development of formalized policing in the United States has been described and delineated chronologically as follows: Political era, 1840-1900; Reform and Professional era 1900-1980; and Community Policing era, 1980-present (Cole & Smith, 2005).

Political Era

The political period functioned to control miscellaneous petty misdemeanor-level crime, maintain order and provide or assist in providing an array of social services (Cole & Smith, 2005; Kelling & Moore, 1989). In the political era, considerable social
functions were conferred to policing (Walker & Katz, 2002). The police structure was very decentralized and police tended to establish close ties with the communities they served.

Walker and Katz (2002) outlined strengths and weakness of policing in the political era. Strengths included support garnered for the various community services provided, deterring riotous behaviors as a function of their visible and government-sanctioned police force, and their record of assisting immigrants to locate housing and employment. During this period, the police generally enjoyed a positive public image for their ability to assist in community and social services and for their work in preventing and solving crimes. Many of these perceived benefits however, over time, created a number of drawbacks.

According to Walker and Katz (2002), political era weaknesses included city mayors directly hiring policing executives whom, consequently, were entirely beholden to them. As a function of ethnically-segregated communities, mayors often appointed leaders of like ethnicity. Not surprisingly then, ethnic communities that aligned with the mayor and police chief would typically receive services and benefits which were superior to other ethnic communities. Police officers were similarly appointed, based upon friendship and corresponding ethnicities to those holding political office.

It was also commonplace for police officers to pay politicians for the privilege of being hired. The police were also bribed by politicians to actively support their campaigns. Not surprisingly, there were many incidents, too, of election interference by police officers (Walker & Katz 2002). Consequently, when local elections resulted in the seating a mayor of a different ethnicity, it was not uncommon for nearly all police
officers to be summarily terminated, wherein the cycle of political favoritism would begin anew (Cole & Smith, 2005).

Since policing was decentralized and had little accountability, other than to politicians and to the police chief’s politically motivated directions, close ties with communities afforded many opportunities for corruption (Cole & Smith, 2005; Walker & Katz, 2002). Politically-connected influential community members used police officers to facilitate their own self-interests, often at the expense of another, and, many times, ethnically-motivated (Walker & Katz, 2002). For example, in the protection of one's interest, police officers were susceptible to being bribed for non-enforcement of a law. Similarly, they could be bribed to either enforce a law against another - which otherwise would not have been enforced - or to enforce something altogether contrived (Cole & Smith 2005; Walker & Katz 2002). Over time, persistent use of these discriminatory tactics resulted in the public’s erosion of trust in the police (Muir, 2008).

During the latter part of the political era, prohibition gave rise to rampant police corruption, setting the stage for its demise (Walker & Katz, 2002). As urbanization and immigration continued expanding in the early twentieth century, there came an increasing insistence to reform and professionalize the police by severing the corruptible political influence which came to define the unethical behavior of the political era in policing (Cole & Smith, 2005; Walker & Katz, 2002). Political corruption, disorganization, and inefficiencies of the political policing era (Kelling & Moore, 1989; Walker & Katz, 2002), "set in motion generations of reform efforts that continue today" (Walker & Katz, 2002, p. 33).
Before ending this political era review, it is important to point out that policing developed quite differently in the South. There, prior to the US Civil War, policing was developed and organized as a function to protect *property rights* - commonly ascribed language in the South to describe the view of how white slave owners perceived the status of black slave men, women, and children (Cole & Smith, 2005). Slave patrols were created to curtail the potential for slave uprisings, and to search for runaway slaves and, if captured, punish them (Cole & Smith, 2005; Stamper, 2016).

After the Civil War, local political officials throughout the South crafted various laws, known as Black Codes under the guise of controlling vagrancy, but actually functioned as a method to enable their politically beholden policing entities to incarcerate African Americans (Muniz, 2015). As a form of punishment, since they had no means to pay their fines, they were often sentenced to perform labor. In this way, influential white southern land owners were provided the ability to continue using black labor, expending little, if any, wages (Muniz, 2015). This established a pluralistic criminal justice system racially, whereby blacks received disparately harsher treatment and punishment (Muniz, 2015). These laws were followed by Jim Crow laws, racially segregating the use of public facilities, thereby empowering police to arrest black men and women, choosing to ignore Jim Crow public facilities usage postings (Walker & Katz, 2002). From post-reconstruction through the early part of the twentieth century, there were a host of other racially disenfranchising enactments in the South, many of which included either a direct or tangential policing function (Muniz, 2015; Stamper, 2016; Walker & Katz, 2002).
Reform and Professional Era

The progressive movement in the early years of the twentieth century had a profound impact on policing (Cole & Smith, 2005; Walker & Katz, 2002). Influential progressives were nearly always white males, and typically upper middle class and educated (Walker & Katz, 2002). They espoused two goals: "More efficient government and more government services to assist the less fortunate" (Cole & Smith, 2005, p. 84). They desired to eradicate political influence, patronage, and favoritism (Cole & Smith, 2005). Their slogan succinctly captured the collective sentiment of the time stating, "The police have to get out of politics, and politics has to get out of the police" (Cole & Smith, 2005, p. 84). Reformers developed six goals they wanted to enact, with a corresponding set of expected outcomes. The agenda is outlined in Table 2.

<table>
<thead>
<tr>
<th>No.</th>
<th>Goals</th>
<th>Expected Outcomes</th>
</tr>
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<tbody>
<tr>
<td>1</td>
<td>Police defined as profession</td>
<td>Police as public servants. Obligated to serve entire community. Police performance is nonpartisan.</td>
</tr>
<tr>
<td>2</td>
<td>Political influence</td>
<td>Eliminate political influence throughout policing organizations. Precinct stations were closed-viewed as police instrument for promoting political influence through police-citizen contact. Eliminating political influence is accomplished in part by creating distance between police and communities</td>
</tr>
<tr>
<td>3</td>
<td>Policing executive qualifications</td>
<td>Establish minimum police and management qualifications for policing executives. Proven organizational management experience.</td>
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<tr>
<td>4</td>
<td>Personnel standards</td>
<td>Personnel standards for police officer raised and included: Minimum recruitment requirements related to intelligence, health, and moral character. Begin formal police training - police academy concept introduced.</td>
</tr>
<tr>
<td>5</td>
<td>Introduce principles of scientific management</td>
<td>Centralized command and control. Efficient use of personnel. New communications technology used to control and account for activities of officers and middle managers in the field-viewed as reform measure to replace use of precincts.</td>
</tr>
<tr>
<td>6</td>
<td>Specialization units</td>
<td>Better service to community through developing and implementing specialized units including traffic, vice, and juvenile justice.</td>
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</table>

*Table 2: Police Reform Agenda: Professional Era (Adapted from Cole & Smith, 2005; Walker & Katz, 2002).*
According to Cole and Smith (2005), "Refocusing attention on crime control and away from maintaining order probably did more than anything else to change the nature of American policing" (p. 85). At the beginning of the twentieth century, reform efforts were slow to develop (Walker & Katz, 2002). Policing executives received attention while lower ranking officers felt largely excluded in reformatory efforts, as they were deemed the problem (Walker & Katz, 2002). This created resentment among policing rank and file, resulting in the formation of many police unions, and the beginning of modern policing subculture (Walker & Katz, 2002). In 1919, Boston Police Department officers elected to strike (Walker & Katz, 2002). Widespread crime and violence ensued and most police officers were terminated (Walker & Katz, 2002). As a result, there was considerable backlash from the community and the prevalence of police unions all but vanished for some twenty years (Walker & Katz, 2002).

In the early twentieth century, the first female police officer was hired, yet female police officers remained exceedingly rare throughout the country (Walker & Katz, 2002). The same was the case with African American police officers (Walker & Katz, 2002). When African Americans were hired, they were typically assigned to work exclusively in black communities (Walker & Katz, 2012). The situation was worse in the South where even fewer blacks were hired. Notably, they were not authorized to arrest white people (Walker & Katz, 2002).

The police relationship with the black minority community remained largely adversarial (Walker & Katz, 2002). Conflict between the police and the African American community would continue and worsen, as police intentionally detached themselves from communities they policed (Garland, 2001). Distancing themselves from
what had previously been direct contact with the community was rationalized as a function of implementing scientifically driven policing, serving to free the police from politicization and to reduce incidents of corruption. According to Lyons (1999) however, this also relieved the police of public scrutiny. Increasing tensions and conflict among city policing and their communities continued, worsened, and went largely unreported by the media until the racial riots of the 1960s (Muniz, 2015).

In 1929, President Hoover established the Wickersham Commission to conduct studies of the criminal justice system (Walker & Katz, 2002). In 1931, the Commission published a report entitled 'Report on lawlessness in law enforcement.' The report concluded that "The third degree - the inflicting of pain, physical or mental, to extract confessions or statements - is extensively practiced" (p. 38). Their investigation revealed the police routinely engaged in the following practices: 1) Beating of suspects; 2) Threatening suspects; and 3) Detaining suspects for protracted questioning (Walker & Katz, 2002).

Walker and Katz (2002), identified and discussed three prominent advances in technology in the early and mid-twentieth century that changed the nature of police-citizen interaction and which enabled many professional era strategies and tactics: 1) Patrol vehicles; 2) Two-way radios; and 3) Increasing availability of the telephones. Use of patrol vehicles allowed patrolling over much greater areas, visibly aiding to deter crime, and to apprehend criminals who likewise had access to automobiles. Soon after, two-way radio communications provided police headquarters the ability to track personnel and maintain continual communication. In mid-twentieth century, as telephone availability became widespread, citizens would call upon the police to report crime,
suspected criminal behavior, and for a host of other matters not typically handled previously by the police. Through the use of two-way radio communication, civilian police personnel could dispatch police officers to a call for service and officers would respond in marked police cars. In total, these three technologies, "completed a communications link between citizens and police" (Walker & Katz, 2002, p. 37).

These technologies also created shortcomings in police-public relationships (Walker & Katz, 2002). Patrol cars, while serving the intended purpose to aid in reducing political influence, rampant in the political era, also functioned to remove police officers nearly altogether from direct contact with the community (Walker & Katz, 2002). Citizen relationships with the police therefore, either deteriorated or just never developed in the first place (Walker & Katz, 2002). The segregated black communities would see the police more as an occupying force than as public servants (Cole & Smith, 2005; Walker & Katz, 2002). Most policing supervisors began relying on two-way radio communications as a primary method to track officers' work, rather than through direct observation, counseling, and mentoring (Walker & Katz, 2002). Finally, prevalence of telephones gave rise to calls for service for many socially related issues, which were previously handled through family, friends, and social networks (Walker & Katz, 2002).

According to Kelling and Moore (1989), narrowing the policing function to focus on crime fighting in the reform era was sensible, and enabled the police to target scarce resources toward their rightful mission to prevent crime, rapidly responding to calls for service, and apprehend criminals, rather than attending to matters ancillary to the main aim of policing. Further, professionalizing efforts served to minimize "discretionary excesses" (p. 8), of the political era. The reform strategy was somewhat successful over
the relatively stable 1940's and 1950s. Police utilized innovative technologies and methods to successfully combat serious violent crime, garnering considerable support in doing so (Cole & Smith, 2005).

During the 1960s, the U.S. Supreme Court began to closely scrutinize police actions, as a consequence of policing performance increasingly bent on circumventing the Constitutional safeguards designed specifically to protect civil liberties and freedoms (Brady v. Maryland, 1963; Mapp v. Ohio, 1961; Miranda v. Arizona, 1966; Terry v. Ohio, 1968). Most court decisions of the time served to limit policing power while a few opinions sided with police actions but, in doing so, provided narrowly tailored guidance for police in order to reduce police discretion, to the extent possible (Cole & Smith, 2005). Table 3 presents four precedent setting US Supreme Court cases, specifically related to policing performance, the use of discretion and public trust.

Ultimately, the reform strategy was seen as incapable of adjusting to social changes of the 1960's and 1970's. Rising social unrest was demonstrated through increasingly unstable conditions relative to the civil rights movement, migration of minorities to urban centers, lowering of the average population age (accounting in part, for sweeping antiwar protests), rising crime, and high-profile incidents of police brutality, particularly in the South (Cole & Smith, 2005; Kelling & Moore, 1989; Muniz, 2015). Consequently, this set the stage for the advent of the era of community policing which began in the 1980s.
<table>
<thead>
<tr>
<th>YEAR</th>
<th>SUPREME COURT CASE</th>
<th>CENTRAL ISSUE</th>
<th>FINDING AND IMPLICATION FOR POLICING</th>
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<tbody>
<tr>
<td>1961</td>
<td>Mapp v. Ohio</td>
<td>Police received tip regarding a bombing suspect hiding in an apartment. When police arrived, apartment lessee told them to get warrant. Police did not get warrant &amp; entered apartment. Police did not find anyone but did observe evidence of a crime-arrested apartment lessee.</td>
<td>The court ruled all citizens are entitled to protections of the 4th Amendment through the due process clause of 14th amendment. Required all police officers in local, county, and state policing agencies to obtain a warrant from a court prior to conducting searches for evidence and seizure of persons, and then only upon a showing of probable cause.</td>
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<td>Prior to this case, the court held that protections under the 4th amendment in the Bill of Rights (protecting citizens from unreasonable search and seizure) related only to Federal law enforcement.</td>
<td>Previously, local, county, state police officers routinely conducted warrantless searches for evidence, and warrantless seizures of persons.</td>
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<td>1963</td>
<td>Brady v. Maryland</td>
<td>Defendant not previously entitled to be informed by prosecution if possessing exculpatory information, which is information materially useful to a defendant in either the prosecuting or punishment phase of judicial proceedings.</td>
<td>Prosecutors/police must give materially relevant exculpatory information or evidence to criminal defendant. Police officers previously obtaining or having knowledge of exculpatory evidence, did not typically inform prosecutor.</td>
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<td>Prior to this case, police routinely interrogated suspects of crimes without warning them of the right to be free from self-incrimination, as outlined in the 5th Amendment in the Bill of Rights.</td>
<td>Court ruled a person seized, has a right to be free from self-incrimination thru due process clause of 14th Amendment.</td>
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<tr>
<td>1966</td>
<td>Miranda v. Arizona</td>
<td>Experienced police officer observed a man he believed was preparing to rob a store. After observing a series of suspicious behaviors, the officer approached the man, temporarily detained him, and searched him for weapons, without a warrant.</td>
<td>Local, county, and state police officers could no longer conduct custodial interrogation without first giving a series of statements to inform of right to be free from self-incrimination, commonly known as Miranda Warnings.</td>
</tr>
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<td></td>
<td>Terry v. Ohio</td>
<td>Court ruled in favor of the officer's actions. They stated if an officer is able to articulate reasonable suspicion that criminal activity may be afoot or that a person is armed and dangerous, an officer may conduct a limited 'pat down' search for evidence or weapons.</td>
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*Table 3: Select 1960s US Supreme Court Rulings: Policing & Procedural Law.*
Community Policing Era

Community Policing

Many policing research studies were undertaken in the 1960s, 1970s and in the early 1980s, resulting from the increasingly pervasive belief that the professional model, as a policing methodology, was ineffective in controlling crime and social disorder. Research confirmed the complex nature of policing, and three important and consistent findings concluded that the basic tenets of the professional policing model were incongruent with the mission of policing to maintain order and enforce laws (Cole & Smith, 2005). These findings included the following: "1) Increasing number of patrol officers in neighborhoods had little effect on crime rates; 2) Rapid response to calls for service did not greatly increase the arrest rate; and 3) Improving the percentage of crimes solved is difficult" (Cole & Smith, 2005, p. 86).

Ironically, many recommendations for change included elements from the political era, absent direct political influence of police officers in the field (Walker & Katz, 2005). For example, findings typically revealed that use of patrol cars functioned to prevent police officers from having direct and routine citizen contact, other than calls for service (Cole & Smith, 2005; Walker & Katz, 2002). Many studies suggested that officers should be assigned to foot patrols, primarily in urban centers, to socialize with community members and neighborhood residents to identify community problems in need of police intervention (Cole & Smith, 2005; Kelling & Moore, 1989).

In many findings, participants believed that if police were to identify petty crimes and early stage conflict they could then collaborate proactively with those most affected in the community to develop problem-solving solutions to mitigate conflict, while it
remained manageable, rather than awaiting worsening social disorder and criminal behavior (Cole & Smith, 2005). Additional desirous consequences from this new approach, it was believed, would lessen fear of crime, while enhancing both quality-of-life and improved attitudes toward police (Cole & Smith, 2005). One significant US Government intervention to address the rising crime rates in the 1990s, was the 1994 Violent Crime Control Act, which infused 100,000 police officers into communities throughout the country. In turn, policing executives opting in to the program were required to assign offices to community policing initiatives (Walker & Katz, 2002). However, there was no evaluation requirement, pursuant to the Act. Further, community policing, as a function of the Crime Control Act was not clearly defined. For Muniz (2015), "community policing involves cooperation between police and residents in the development of crime prevention strategies" (p. 58). Garland (2001) suggests that community policing also includes informal social control by creating and fostering relationships that prove more effective to law enforcement's mission than do legal sanctions, alone. Various community policing constructs would develop throughout the formative years of the community policing era.

Problem Oriented Policing

In 1979, Herman Goldstein introduced the concept of problem-oriented policing (POP). In summary, the underlying philosophy of this community policing model was designed as a problem-solving method, entailing breadth and depth in assessing community problems, culminating in a comprehensive plan of action. Typically, solutions include identifying and requesting needed resources from policing, non-policing governmental agencies, private sector, and community members. As conceptualized, it
was deemed to be preventative in nature due to its comprehensive problem identification and solving methodology, based upon inclusivity and keenly targeted resource deployment. In this manner, what were once spin-off problems resulting from unattended or minimally addressed problems, would be prevented. It was also believed that successful problem solving would generate problem preventative measures elsewhere (Goldstein, 1979; Goldstein, 2003).

As introduced, POP was a holistically strategized approach to policing and consistent with the broadening view of the police role in society (Kelling & Moore, 1989). This model, while presupposing executives and command staff maintain strategic and decision making guidance and oversight, requires an inverting of policing hierarchy, giving low ranking police officers responsibility for problem identification, designing inclusive problem solving tactics, and garnering specific and sufficient resources. Outcomes for POP centered on quality of life and citizen satisfaction measures (Kelling & Moore, 1989).

Weisburd, Telep, Hinkle and Eck (2010) conducted a systematic review of POP literature to examine its effectiveness in reducing social disorder and crime. The rigorous review netted only ten studies, out of 5,500 articles initially retrieved. They reported a "modest but statistically significant impact of POP on crime and disorder" (p. 139), and in a less rigorous examination of pre-post comparison studies, found, "an overwhelming positive impact from POP" (p. 139-140).

In the 1990s, the Chicago police developed a community policing strategy with four principle underpinnings: 1) Organizational decentralization to facilitate communication; 2) Commitment to a broad interpretation of problem-oriented policing
(POP) methodology; 3) Responsiveness on the front-end of the process by including the community, not only with respect to their stated needs but also in terms of the tactics and manner in which the police perform to serve those needs; and 4) Assist neighborhoods to solve their own problems, to the extent possible, by implementing and empowering community organizations and crime prevention programs. Preliminary findings of Chicago's initial community policing program demonstrated greater citizen involvement in neighborhood problem solving, a decline in neighborhood problems, improved cooperation among police and other governmental institutions, and improved public perception of police (Skogan & Hartnett, 1997). Problem-oriented policing remains an actively utilized policing model, internationally. Since 1990, international POP conferences have been held annually.

Broken Windows Policing

Combined with early study findings and pilot studies of their own, Wilson and Kelling (1982) published an approach to community-oriented policing, entitled, Broken Windows. According to Wilson and Kelling (1982), "The link between order maintenance and crime prevention, so obvious to earlier generations, was forgotten" (p. 32). That link was the underpinning philosophy of ‘broken windows policing’ which asserts that "Serious street crime flourishes in areas in which disorderly behavior goes unchecked" (p. 32). An unchecked complaint of a panhandler or unruly drunkard, for example, represents the first broken window. Realization by the panhandler and drunkard that their behavior is permitted, results in an influx of more social disorder activity and greater potential for crime as a function of perceived policing indifference. Metaphorically then, many more windows are broken, resulting in increasing fear, intimidation, rising crime,
and overall reduction in quality-of-life for community members or neighborhood citizens (Kelling, 1988; Kelling & Moore, 1989; Wilson & Kelling, 1982).

There are three assumptions underlying broken windows policing: 1) Disorder in a neighborhood causes fear; 2) Broken windows portray absence of care and as a consequence, disorderly behavior and petty crimes become more pervasive, leading to worsening disorder and crime; and 3) Police must rely upon citizens to help and must be responsive to them (Cole & Smith, 2005; Friedmann, 2015). For Muniz (2015), broken windows policing emphasizes a zero tolerance, order maintenance by officers, with community members' support. Some criticisms of broken windows policing include, 1) Rejecting the premise that disorder leads to crime; 2) It conflates association with causality on the matter of disorder and crime; and 3) It disproportionally impacts poor and minority communities because broken windows tend to be more prevalent in those neighborhoods, and so assigning greater numbers of police officers ultimately results in increased arrests for relatively minor crimes which would have otherwise been unenforced (Friedmann, 2015). According to the US Department of Justice Community Oriented Policing Services (COPS) Office:

When broken windows is correctly understood within a broader community policing philosophy, improper implementation of its central tenets through such things as ignoring community concerns, applying a zero tolerance one-size-fits-all approach to minor offenses, and conducting cursory or no analysis of problems, are less likely to occur (Friedmann, 2015, p. 63).

Research findings on the impact of broken windows policing has been mixed. During the 1990s, New York, Boston, Los Angeles, Lowell, Massachusetts and other
localities implemented a broken windows community policing approach. All cities realized a decrease in crime throughout the 1990s (Walker & Katz, 2002; Friedmann, 2015). However, during this same time period, crime rates dramatically dropped across the nation as well. A broken windows approach was also implemented in three midsized cities in southern California with the goal of examining effects on residents’ fear of crime and actual and perceived levels of crime and disorder. Importantly, perceptions of collective efficacy and police legitimacy were also measured. This approach combined a *hot spots* method, which sends resources to a fairly small, concentrated area with high crime rates, to reduce crime in and around the hot spots. Findings revealed no significant impacts on any of the dependent variables (USDOJ, 2015).

CompStat Policing

In the 1990s, the New York City Police Department changed its primary focus from rooting out corruption to addressing the problem of rising crime (Police Executive Research Forum [PERF], 2013). To meet this objective, Deputy Police Commissioner Jack Maple envisioned, developed and launched its CompStat program to reduce crime (PERF, 2013). CompStat is an abbreviation referencing the use of computerized generated statistics or comparative statistics to provide timely and usable data for commanders, enabling them to strategize, develop tactics, and deploy resources, specific to crimes occurring within a given commander's area of responsibility (PERF, 2013). A key component includes the policing executive and executive staff holding regular meetings with police commanders, wherein commanders describe their crime reduction efforts. The meetings include public questioning and challenging of commander's performance (Magers, 2004: PERF, 2013). In fact, it included high stakes, in-your-face
challenging of high ranking police commanders, who had not attained their superiors' crime reduction goals (Magers, 2004: PERF, 2013). Some CompStat critics contend that the pressure imposed on commanders ultimately leads to implementing or condoning heavy-handed policing tactics to achieve desired crime reduction targets (Magers, 2004). Although its use is sometimes commingled with community policing, it was developed and implemented without regard to evaluating or holding commanders accountable on matters of due process, ethical performance, community relations, or developing and nurturing public trust at all (Magers, 2004; PERF, 2013).

In the process of conducting the literature review for this study, a word search for 'trust' was performed on two article reviews (Magers, 2004; Walsh & Vito), one study on diffusion of innovation of CompStat (Weisburd, Mastrofski, McNally, Greenspan & Willis, 2003), and one comprehensive and systematic research review of the program by the Police Executive Research Forum (PERF, 2013). In these four documents, totaling 95 pages of actual literature, the word search revealed three findings for trust. All three were located in the latter document, and all trust references related only to internal debate on whether and to what extent police commanders and their subordinates should have access to and share crime data (PERF, 2013). Matters related to public trust, under the CompStat construct, were subordinated to the ideal of fighting crime (Eterno & Silverman, 2006).

In the PERF report (2013), researchers interviewed Kelling, broken windows policing founder, regarding his view on the status and future outlook of CompStat. He stated:
CompStat is the most important administrative policing development of the past 100 years. CompStat appropriately focuses on crime, but I think the danger is that CompStat doesn’t always balance that focus with the other values that policing is supposed to pursue, including justice and minimizing use of force. I want CompStat to measure and discuss things like complaints against officers and whether police are reducing fear of crime in the community. If you only focus on crime, you can develop a distorted view of whether the department is succeeding. The CompStat systems of the future must reflect all of the values the police should be pursuing” (p. 27).

This report also contained interview data with a policing executive of a midsized policing agency. He holds two types of CompStat meetings monthly: one internally and one with the public. The chief stated that the discussion of crime information is nearly identical in both meetings. He asserts that this ongoing dialogue is mutually beneficial and is establishing connections between the community and the police. In a relatively recent study, Willis (2011), examined how CompStat and community policing might be integrated to enhance organizational legitimacy. Outcomes included three methods in which police might develop public trust and support: 1) Systematic reporting of community problems at CompStat meetings; 2) Involving the community in problem-solving efforts; and 3) Use of CompStat mapping and crime statistics to mitigate perceptions of unfairness.

Community Policing Era Summary

Kelling and Moore (1989) developed a categorized organizational strategic framework, comparing and contrasting attributes of the three policing eras by: 1) Sources
from which police construct power to act on society; 2) How police are defined through their function or role in society; 3) Police organizational structure or design; 4) Relationships police create with external environments; 5) Nature of police efforts to market or manage demand for services; 6) Principal activities, programs, tactics, and technologies relied upon to fulfill mission or operational success; and 7) Concrete measures used to define operational success or failure. The framework is synopsized in Table 4. This 1989 publication identified a retrospective account of the political and professional eras, consistent with extant literature. Community policing attributes, however, were presumptive. Whether, and to what degree, they have materialized remains an open question.

In 2016, five agencies employed and tested foot patrols as a method to engage and guide relationship building in communities (Cowell & Kringen, 2017). Study highlights include: 1) Positive interactions between foot patrol officers and community members, even in some very challenging communities; 2) Relationship building and enhancement between department and community; and 3) Enhanced problem-solving and enforcement capabilities. "Perhaps the most important finding was confirmation that foot patrols, if carefully planned and deployed, can facilitate relationship-building between the community and officers, even in areas where a trust deficit may have historically existed" (Cowell & Kringen, 2017, p. 14).

Nearly three decades ago, Kelling (1988), referred to the advent of community policing as a quiet revolution. Twenty years ago, researchers Zhao and Thurman (1997), commented that community policing rhetoric had yet to catch up with its actual status. Referencing Kelling (1988), they suggested that the community policing revolution was
indeed quiet. Chappell (2008), some thirty years since the inception of community policing, wrote about the varied definitions and implementation methods of community policing and the problem it continues to pose for researchers in identifying the relative success or failure of a given program.

<table>
<thead>
<tr>
<th>No.</th>
<th>ORGANIZATIONAL STRATEGIC FRAMEWORK</th>
<th>POLICING ERA</th>
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<tbody>
<tr>
<td>1</td>
<td>Sources from which police construct power to act on society</td>
<td>Political</td>
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<td>2</td>
<td>Definition of Police Function or societal role</td>
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<td>3</td>
<td>Organizational Design of Police Departments</td>
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<td>4</td>
<td>Relationships Police create with external environment</td>
<td>Close and Personal</td>
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<td>5</td>
<td>Nature of Police efforts to market or manage demand for their services</td>
<td>Links politicians and precinct commanders</td>
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<td>Face-to-face contacts with citizens and foot patrol officers</td>
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<td>6</td>
<td>Principal activities, programs, tactics, and tech used to achieve success</td>
<td>Foot patrol</td>
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<td>Rudimentary investigations</td>
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<td>7</td>
<td>How Police define operational success and failure</td>
<td>Political and citizen satisfaction w/social order</td>
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Table 4: Categorized Organizational Strategic Framework: Three Policing Eras (Kelling & Moore, 1989).
In the 1970s, Chief Stamper (2016), then a lieutenant, was among what he called, "a handful of starry-eyed police reformers" (p. 16), which predicted that implementing community policing would result in "an ethic of treating people respectfully" (p. 16). The group also believed reliance upon an antiquated paramilitary policing structure would be forever in the past, and that unilateral policing decisions over communities, rather than with communities, would finally come to an end. In total, he believed, it would result in increasing sensitivity, openness and accountability. Stamper (2016) concluded, "I could not have been more wrong. Today's law enforcement...are even more distant and disengaged from the communities they serve" (p. 17). Stamper (2016), returning to Peel's principles of policing, included corresponding comments which he believes are reflective of many in the current policing culture. They are included in Table 5.

As a consequence of developing and worsening conflict between many communities and police over matters related to ethical performance, the International Association of Chiefs of Police, in 2016, created an Institute for Community-Police Relations (ICPR) office, "to provide guidance and assistance to LE agencies. ICPR focused on several key elements to increase trust between communities and police, including culture, policies, and practices" (De Lucca, 2017). Consistent with this initiative, Fox (2017) identified several promising community policing programs that were established, either directly or in part, to develop and strengthen relationships among police and their communities, "through an organizational commitment to community policing" (Fox, 2017, p. 28). A portion of the highlighted cases are synopsized in Table 6.
Fox (2017) suggests that while crime and crime trends remain relatively low, as a function of countless police-citizen interactions, public trust has not kept pace. And, although police officers are better skilled today than ever, he intimated, they are also perhaps, less respected now than at any time in the history of policing. He wrote, "Practitioners must ask themselves how to meet the challenge of aligning the perceived legitimacy of police agencies with the advances in the profession" (p. 28).

<table>
<thead>
<tr>
<th>No.</th>
<th>SIR ROBERT PEEL'S NINE PRINCIPLES OF POLICING</th>
<th>COMMON REACTION FROM POLICE OFFICERS</th>
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<tbody>
<tr>
<td>1</td>
<td>The basic mission for that the police exist is to prevent crime and disorder.</td>
<td>The Supreme Court makes it too difficult to catch bad guys. Many believe the police function is to promote social justice. Cops are exploited to advance social reengineering, rather than preventing crime and social disorder.</td>
</tr>
<tr>
<td>2</td>
<td>The ability of the police to perform their duties is dependent upon public approval of police actions.</td>
<td>Which public? There is no clear definition of the public. Cops decide by own whose approval to seek.</td>
</tr>
<tr>
<td>3</td>
<td>Police must secure willing cooperation of the public in voluntary observance of the law to be able to secure and maintain the respect of the public.</td>
<td>Achieving voluntary observance of the law is beyond the capacity of police officers; it's for others to do. Since when did the public show police respect?</td>
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<tr>
<td>4</td>
<td>The degree of cooperation of the public that can be secured diminishes proportionately to the necessity of the use of physical force.</td>
<td>Like it or not, police are empowered to use coercive force against citizens; this is a necessary part of the profession, especially today. We go to work every day knowing death is a real possibility.</td>
</tr>
<tr>
<td>5</td>
<td>Police seek and preserve public favor not by catering to the public opinion but by constantly demonstrating absolute impartial service to the law.</td>
<td>Absolute impartial service? Public opinion gets defined by preferences and priorities of the public's squeaky wheels and politically correct city leaders. Although rare, it is nice when an executive stands up to the misguided in city hall.</td>
</tr>
<tr>
<td>6</td>
<td>Police use physical force to the extent necessary to secure observance of the law or to restore order only when the exercise of persuasion, advice and warning is found to be insufficient.</td>
<td>Persuasion, advice, and warning? The last thing anybody wants showing up at their door when they call the cops is a social worker. Some persuasion attempt is okay, but we had better be equipped and capably trained to employ the tools of our trade.</td>
</tr>
<tr>
<td>7</td>
<td>Police, at all times, should maintain a relationship with the public, in the historic tradition that the police are the public and public are the police; the police being only members of the public who are paid to give full-time attention to duties, incumbent on every citizen in the interests of community welfare.</td>
<td>What does all that mean? So, the police are not special? Well, they are special. They have been trained to stand apart from the public in order to form the famous 'thin blue line' between them and the bad guys. If that line were to dissolve, society would be looking at decaying cities, chaos, and anarchy.</td>
</tr>
<tr>
<td>8</td>
<td>Police should always direct their action strictly towards their functions and never appear to usurp powers of the judiciary.</td>
<td>We have always heard, &quot;You're not the judge, jury, and executioner. &quot;Nice credo, but try living by it when some armed and dangerous fugitive points a .45 at you, threatening to blow you away.&quot;</td>
</tr>
<tr>
<td>9</td>
<td>Test of police efficiency is the absence of crime and disorder, not visible evidence of police dealing with it.</td>
<td>Police work is highly visible. This is why we wear uniforms and drive conspicuously marked cars. We are highly trained to enforce the law.</td>
</tr>
</tbody>
</table>

Table 5: Peel's Nine Principles & Surmised Current Policing Culture Responses (Stamper, 2016).
<table>
<thead>
<tr>
<th>Police Depart. Location</th>
<th>Community Policing Initiative</th>
<th>Initiative Goal(s), Construct, Processes, and Results</th>
</tr>
</thead>
<tbody>
<tr>
<td>Capitol Heights, MD (CHPD)</td>
<td>Unity in Community</td>
<td>Social factors - Root of crime and disorder, lack of employment opportunities, juvenile delinquency &amp; truancy, lack of affordable health care, and lack of trust in police. Collaborative partnerships with community stakeholders to build trust and promote community policing strategies/techniques to reduce crime &amp; disorder. Some 70 local, county, state police and other community resources brought under one umbrella to address root problems. Shelter for homeless, family counseling, job training/ placement programs. County health provides mental health and other services. Obtained grant &amp; formed nonprofit to ensure sustainability. Nonprofit to assist in organizing events, fundraising to support sustainable outreach efforts.</td>
</tr>
<tr>
<td>Menlo Park, CA (MPPD)</td>
<td>Model of leveraging partnerships and resources to solve problems and increase public trust</td>
<td>Achieved through integrating community presence, public engagement philosophy &amp; reestablishing core personnel within the community relations unit. Goal: To become safer community. Accomplished by earning community trust, connecting with community members. Community Advisory Group (CAG), composed of residents and business owners from 20 distinct neighborhoods, meeting monthly forum to make known crimes and community issues, developed comprehensive and coordinated plan to address identified problems, by priority. Block captains coordinated with police. CAG assisted MPPD in developing plan to communicate more effectively with community. With their guidance, MPPD now uses robust social media technology to maintain communication with public, including Blackboard Connect, Nixle, Facebook, Twitter, Instagram &amp; Nextdoor.</td>
</tr>
<tr>
<td>Abington, PA (APD)</td>
<td>Safer community through helping at-risk children and families.</td>
<td>APD and school district developed &amp; implemented Collaborative Assessment and Response for Expedited Services, or C.A.R.E.S. Operational personnel from relevant agencies and disciplines regularly discuss and analyze at-risk children and family cases. Based on circumstance, C.A.R.E.S. determines a lead person, then, they expedite enhanced, targeted services. After initial response, problem revisited for follow-up. Partners include youth institutions, city management, and others. Regular meetings ensure accurate and timely information sharing. Remedies which once required weeks, were now handled in a few days, and more effectively.</td>
</tr>
<tr>
<td>Brattleboro, VT (BPD)</td>
<td>Culture Change</td>
<td>Concerted effort to increase the trust and confidence of the community in police. Identified a lack of ‘police familiarity’ due to lack of police interactions, except during calls for service or investigations. “Trust, confidence, and relationships need to be built between conflicts, not during them” (p.27.). BPD began top-down effort to build relationships. Police executive met with civic and religious groups, neighborhood reps, and underrepresented populations to refine their understanding of the problem. As the department sought partners, skepticism from groups shifted to curiosity and, then, to optimism. A desire to collaborate with police had always been present, but had gone unexpressed by them &amp; undiscovered by BPD. Change included redeployment of resources, structural changes in training &amp; performance evaluations. Entire BPD personnel made cultural shift to engage with community. The best way to learn community members wants and needs is to simply ask them. Open and frank dialogue educated the public and, in turn, BPD officers learned how their efforts are truly received. After initial period of internal/external buy-in struggles, there has been great success. Now, common for groups of residents to initiate meetings with police to discuss growing problems before they fester into emergencies or tragedies. Significant increase in trust &amp; confidence has occurred.</td>
</tr>
</tbody>
</table>

*Table 6: Select Community Policing Programs (Fox, 2017).*

**Intelligence-led Policing**

Intelligence-led policing originated in the UK in the late 1990’s and is now used by police in several other countries, including the US (Ratcliffe, 2008), although it has
diffused in the US quite slowly and sparingly (Carter & Phillips, 2015). Intelligence-led policing methodology is designed to leverage analytical information and criminal intelligence for objective decision making in order to target resources toward serious offenses and offenders (Ratcliffe, 2008). The model utilizes a strategic, targeted approach to control crime and enhance community safety, and represents a significant departure from the professional policing model, and most community policing era models (Maguire, 2000).

Intelligence-led policing, CompStat and problem-oriented policing all rely on two-way information exchange between police and public (Ratcliffe 2008), although CompStat to a much lesser degree (PERF, 2013). Unlike other models, Intelligence-led policing targets specific criminal behaviors by using evidence-based, integrated intelligence analysis, to guide strategic, operational, and tactical decision making (Ratcliffe, 2008). Consistent with the current knowledge-driven environment, as a function of leverageable technology and the relative technological sophistication of workforce entrants, intelligence-led policing offers great promise, yet many barriers exist and may continue to stifle its diffusion (Carter & Phillips, 2015; Darroch & Mazerolle, 2013; Lowe & Innes, 2012; Ratcliffe, 2002; Ratcliffe, 2008). Some suggest it should be considered within a broader community policing construct, although considerable empirical examination has yet to be done in order to establish a well-defined framework (Bullock, 2013). Figure 2 provides an illustration of the dynamic and interrelated nature of intelligence-led policing. As with other models outlined in this study, developing trust in communities, is sparingly referenced in the literature.
Power - Trust

In IACP’s most recent publication of Police Chief Magazine, the IACP president wrote:

Policing executives recognize no one single factor more important for preventing and reducing crime than collaboration between law enforcement agencies and the citizens they support and serve...developing and maintaining relationships in order to build mutual understanding and trust with diverse communities requires time and is an ongoing effort (De Lucca, 2017, p. 6).

The relationship between policing and citizen stakeholders is unique (Delattre, 2006; Jetmore, 2005; Fitch, 2011; Stoutland, 2001, Tyler, 2001). There exists no other sanctioned relationship in western societies in which one party entrusts another with such
solemn and sweeping power (Delattre, 2006; Fitch, 2011; Jetmore, 2005; Normore & Fitch, 2014; Stoutland, 2001; Tyler, 2001). This power disparity places an unequivocal obligation on police executives to identify and implement ethical policing strategies to ensure this conferred authority is exercised appropriately and with restraint (Delattre, 2006; Fitch, 2011; Fleming, 2015; Jetmore, 2005; Normore & Fitch, 2014; Stamper, 2016).

Hatch, Kostera and Kozminski (2009) discuss the three faces of power:
1) Decision making - full and equal participation exists; 2) Non-decision making - when power disallows powerless participation; and 3) The ability to shape preferences and perceptions of others without their awareness. Nonuse of this first face of power, in favor of the other two, is what Stamper (2016) argues has served to generate considerable distrust, particularly on the matter of community policing. Policing service in a given society will remain viable, only to the extent that public trust remains high and pervasive (Delattre, 2006; Fitch, 2011; Fleming, 2015; Jetmore, 2005; Normore & Fitch, 2014; Stamper, 2016).

Due to the many recent incidents sparking public protests across the country, nearly half of the nation's uniformed police officers have already been outfitted with body cameras which is but one of many examples of the consequences of eroding public trust (Stamper, 2016). Figure 3 graphically illustrates the problem with the police-citizen, power - trust relationship. Studies consistently demonstrate that policing stakeholders generally believe their respective policing agency is capable and effective at combating and investigating crimes (Brandl & Horvath, 1991; Sims, Hooper, & Peterson, 2002; Weisburd & Eck, 2004). The expectations gap is related to the manner in which police
carry out their duties; or the degree of ethical performance. This is directly related to procedural justice. Studies consistently demonstrate that policing stakeholders’ trust in the police is correlated to their views on policing procedural justice, an antecedent to policing legitimacy (Fleming & McLaughlin, 2012; Murphy, Hinds, & Fleming, 2008; Waddington, Williams, Wright, & Newburn, 2015). Yet, for decades, there have been no significant changes regarding the manner in which law enforcement executives manage the issue of public trust, other than a spattering of ethics related training, and disciplinary action that flows through the internal affairs - post facto - section of police organizations. With regard to crime fighting and order maintenance, many law enforcement organizations may very well perform effectively yet, "still find themselves without community support" (Tyler, 2002, p. 72).

Figure 3: Illustrated Ethical Policing Performance: Public Trust Expectations Gap

LEGEND:  
\[\text{PUBLIC Expectations: Axes Intersection} \]
\[\text{POLICING Performance: Axes Intersection} \]

\textit{Figure 3: Illustrated Ethical Policing Performance: Public Trust Expectations Gap}
Relational Leadership

Theodore Roosevelt is credited for the quote, "No one cares how much you know until they know how much you care." This enduring adage continues to circulate in organizational leadership discourse, and exemplifies the relative worth organizational members continue to place upon developing and nurturing interpersonal relationships. For Boverie and Kroth (2001), the goal of their passion transformation model is for one to develop occupational intimacy, which entails organizational relationship building. "Intimacy is high when the organization, the leaders, the managers, and coworkers truly care about each other and about how they do their work" (Boverie & Kroth, 2001, p. 72). There is an embedded reciprocity in this notion of care, as relational or referent power significantly correlates to employees’ organizational commitment, and job performance, compared to organizational sources of power (Kessler, 2010).

According to Cunliffe (2009), relational leadership is constructed around the concepts of relationship, moral activity and critically-reflexive thinking. For Cunliffe, self-knowledge is a foundational prerequisite for all three components. This self-knowledge consists of deep introspection to gain insight into our mental and emotional wiring, and is consistent with the tenets of emotional intelligence (Goleman, 1995). Indeed, "Self-awareness is the first step to passionate work, and it requires constant vigilance "(Boverie and Kroth, 2001, p. 110). For Wheatley (2006), a leader must first know thyself, which is creating a sense of identify formed from values, beliefs, traditions, history, competencies and culture, if connectedness and shared understanding is to be well constructed with others.
On ethics, Cunliffe (2009) discusses it as an ongoing action-oriented concept; and not something simply abstract. This entails a recognition of the moral responsibility to construct values and goals in a very connected relationship with organizational stakeholders. Further, it includes implementing measures that serve employees and communities. Key to accomplishing this for Cunliffe, is for a leader to be transparent and demonstrate integrity of action. Literature findings consistently demonstrate many positively correlated outcomes across organizational industries, including policing, when leaders, interactively, role model ethical behaviors; this is particularly true when integrity is measured (Brown, Trevino, & Harrison, 2005; Craig & Gustafson, 1998; Mayer, Kuenzi, Greenbaum, Barde, & Salvador, 2009; Parry & Proctor-Thomson, 2002; Trevino, Brown, & Hartman, 2003; Vitell & Davis, 1990; Walumbwa, Morrison, & Christensen, 2012; Walumbwa & Schaubroeck, 2009).

These ethical traits of caring, transparency, and integrity, among others, are foundational in policing (Fitch, 2014). According to Fitch (2014), public servants are rightfully accountable for their ethical and relational behavior. Policing executives, by extension, are rightfully held to an exponentially higher standard. Leaders must demonstrate their ethics, not just include them in a values statement. Knowing how much one cares includes whether or not a leader cares enough to role model and mentor employees' ethical performance. For a policing leader, there is no greater privilege and nothing more vital than the responsibility of, "influencing the ethics and integrity of employees" (Fitch, 2014, p. 394).

Cunliffe (2009) argues, too, of the need for critical-reflexivity, defined in part as, "examining and unsettling our assumptions, actions and their impact" (p. 98). This
encourages leaders to critically examine strategies, consider competing stakeholder interests, engage in open and critical dialogue, act in more responsive ways, and construct new inclusive forms of reality. In later research, Cunliffe (2011), in discussing the nature and importance of relational leadership, uses the underpinning theoretical framework of ethical selfhood, as developed by Ricoeur (1992), and the theoretical construct on dialogical practice, or dialogism, of Bakhtin (1981/2010) to define relational leadership as, "an inherently moral and dialogical practice" (Cunliffe, 2011, p. 1428). When one's ethical conduct is relationally responsive, it demonstrates care for others through a willingness to continually self-reflect, listen empathically, question our assumptions, and be open to change, as we perform in a relationally intensive world (Cunliffe, 2011).

**Servant Leadership**

Greenleaf (1970) is acknowledged as having developed and provided an initial outline of servant leadership in his publication entitled, *The Servant Leader*. He did not however, clearly define servant leadership but he did give a description of what it entails:

> The servant-leader is servant first...It begins with the natural feeling that one wants to serve, to serve first. Then conscious choice brings one to aspire to lead...The difference manifests itself in the care taken by the servant-first to make sure that other people’s needs are being served (Greenleaf, 1970, p. 13).

He included questions to better identify components of servant leadership, all of which are outcome-based questions, with referent to a leader or without reference at all. In either case, interestingly, no questions were designed from the vantage point of one being served:
Do those served grow as persons? Do they, while being served, become healthier, wiser, freer, more autonomous, and more likely themselves to become servants? And, what is the effect on the least privileged in society? Will they benefit, or at least not further be harmed (Greenleaf, 1977, p. 7).

From the time of Greenleaf’s tendering the notion of servant leadership until the mid-late 1990’s, only a few servant leader related studies influenced leadership literature or practice. Spears (1995), former director of the Greenleaf Center for Servant Leadership (Scuderiv, 2010; van Dierendonck, 2011) and editor of Reflections on Leadership, generated a foundation from which future research could build. The major contribution from Spears (1995; 2010) was in identifying ten non-exhaustive descriptive traits, viewed as critical to the development of a servant leader. These characteristics, with accompanying descriptions are listed in Table 7. In case study research, these characteristics were verified to be critically important for an effective servant leader (Contee-Borders, 2003).

<table>
<thead>
<tr>
<th>No.</th>
<th>Characteristic</th>
<th>Description of Characteristic</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Listening</td>
<td>Identifies and clarifies needs and desires of followers. Listens to and reflects on personal inner thoughts and promptings.</td>
</tr>
<tr>
<td>2</td>
<td>Empathy</td>
<td>Seeks to value, understand, and respect others as individuals.</td>
</tr>
<tr>
<td>3</td>
<td>Healing</td>
<td>Helps make followers whole, understanding the fundamental need to deal with the past before making progress in the future.</td>
</tr>
<tr>
<td>4</td>
<td>Awareness</td>
<td>Provides an integrative perspective that guides behavior through both general awareness and self-awareness.</td>
</tr>
<tr>
<td>5</td>
<td>Persuasion</td>
<td>Builds consensus through personal influence rather than coercion or positional authority.</td>
</tr>
<tr>
<td>6</td>
<td>Conceptualization</td>
<td>One must reason beyond day-to-day realities and the need to achieve short-term goals. The servant leader stretches thinking to encompass broader-based conceptual thinking.</td>
</tr>
<tr>
<td>7</td>
<td>Foresight</td>
<td>Understands lessons from the past, the realities of the present, and the likely future consequences from a decision.</td>
</tr>
<tr>
<td>8</td>
<td>Stewardship</td>
<td>Commitment to serving others.</td>
</tr>
<tr>
<td>9</td>
<td>Committed to growth of people</td>
<td>Seeks to develop individuals personally and professionally.</td>
</tr>
<tr>
<td>10</td>
<td>Build Community</td>
<td>Instills supportive environment.</td>
</tr>
</tbody>
</table>

*Table 7: Servant Leadership Descriptive Characteristics (Spears, 1995; Spears, 2010).*
Although a testable model was not forthcoming in which to validate his espoused characteristics, he would later collaborate to identify a set of complementary servant leadership values (Spears & Lawrence, 2002). These values are: 1) innovation; 2) diversity of thought; 3) individual commitment; 4) self-management; 5) freedom and accountability for service; 6) teaching and learning as central issues 7) embracing risk; 8) staying personal; and 9) courage.

Russell and Stone (2002) also outlined a series of nine functional characteristics together with another eleven traits. Indeed, many researchers continued to develop and test models until there were some forty-four servant leader characteristics in several models (van Dierendonck, 2010). However, by differentiating between antecedents, behavior, mediating processes and outcomes, and by combining the conceptual models with empirical evidence gained from the measures of servant leadership, van Dierendonck (2011) distilled six key characteristics of servant leader behaviors to create an effective and manageable framework, useful for both researchers and practitioners. These six characteristics are: 1) Empowering and developing people; 2) Humility; 3) Authenticity; 4) Accepting of people for who they are; 5) Providing direction; and 6) Stewards who work for the good of the whole.

From these six attributes, van Dierendonck (2011) developed a servant leadership model, depicted in Figure 4. The author included accompanying definitions for these characteristics however, since all definitions provided are consistent with common leadership dialect, they have been omitted here.
In a review of the literature, Scuderi (2010) identified ties between servant leadership and procedural justice climate, organizational citizenship behaviors, job satisfaction, team effectiveness, hope and engagement, and trust. Joseph and Winston (2005) conducted a correlation study, exploring employee perceptions related to servant leadership, leader trust and organizational trust. Perceptions of servant leadership correlated positively with both. Also, organizations perceived as servant-led, exhibited higher levels of both leader trust and organizational trust than organizations perceived as non-servant led. These researchers commented that their rationale for examining trust in servant leadership is that all developing servant leadership testing models contain trust as an attribute.

Barbuto, Gottfredson, and Searle (2014) investigated whether emotional intelligence is antecedent to servant leadership, based on differing servant leadership
characteristics. Study participants included 75 civic leaders and 401 of their followers. Their findings suggest that emotional intelligence is a good predictor of a leader’s servant-leader ideology but may not be a good predictor of servant-leader behaviors, as rated by the leaders’ followers.

In a mixed methods study to explore antecedents of servant leadership, consisting of a survey of 499 leaders and 630 raters in community leadership programs, five relevant findings emerged: 1) The longer a leader is in a leadership role, the more frequent the servant leader behaviors; 2) Leaders, volunteering, demonstrate higher servant leader behaviors; 3) Servant leaders influence others through building trusting relationships; 4) Servant leaders demonstrate an altruistic mindset; and 5) Servant leaders are characterized by interpersonal competence (Beck, 2014).

In a Malaysian study, the role of trust in leaders as a mediator between servant leadership style and organizational commitment was examined from a survey of 177 respondents. A correlation analysis was conducted with all variables and were significantly correlated at p < 0.01. Subsequent regression analyses indicated that trust in leaders serves as a partial mediator between servant leadership and organizational commitment. Servant leadership and trust in leaders are crucial factors to maintaining higher organizational commitment among employees (Goh & Zhen-Jie, 2014).

Stone, Russell and Patterson (2004) conducted a study to identify similarities and differences between servant and transformational leadership. The only notable difference was that transformational leaders' locus was more closely associated with the organization, whereas servant leaders more closely associated with followers. They found that both servant and transformational leaders create vision, generate high levels of
trust, serve as role models, show consideration for others, delegate responsibilities, empower followers, listen, and influence followers.

Vito and Suresh (2011) conducted a study to determine the opinions of 126 police managers from 23 US states, regarding their ideal leadership style as expressed in the items of the leader behavior description survey. Item analysis of their responses revealed three subscales: 1) Servant; 2) Autocratic; and 3) Laissez-faire leadership. ANOVA revealed a strong preference for servant leadership. The findings indicated that these police managers believe that leaders should follow the tenets of servant leadership. They rejected the creeds of both the autocratic and hands-off, Laissez-faire leadership.

**Transformational Learning and Leadership**

Modern era thought on transformational learning and transformational leadership emerged in the late 1970s when introduced by Mezirow and Burns, respectively (Burns, 1978; Mezirow, 2000). Perhaps the most important outcome of transformational learning has been adding a fifth mode of meaning making for learners. Transformative learning is "the process of effecting change in a frame of reference" (Mezirow, 1997, p. 5). For Mezirow (1997), this occurs through the processes of communication and discourse, as one becomes sensitized to closely held tacit assumptions and assumptions of others, in order to consider their respective relevance through an interpretive framework, which Mezirow discusses as *habits of mind* and *point of view*. Indeed, this learning mode clearly informed transformational leadership thought, as the idea of critically challenging, assessing, and interpreting assumptions is found throughout transformational leadership literature (Burns, 1978). Adults develop individualized intrapersonal interpretations,
often closely-held and guarded, relative to how one makes meaning in the world
(Mezirow, 1997). "Transformational learning is the process of effecting change in a
frame of reference" (p. 6). Frames of reference refer to our internalized assumptions, or
the way in which we create meaning for ourselves, cognitively and emotionally
(Mezirow, 1997; Mezirow, 2000).

Rigidly-held frames of reference, absent the capacity to engage in discourse
through a transformative learning modality, results in operant and classical conditioning
response behaviors (Merriam & Cafferella, 1999). Learning to problem solve, for
Habermas (1984), includes developing the capacity to engage: 1) Instrumentally,
manipulating one's environment or people to improve performance;
2) Impressionistically, effectively portraying oneself; 3) Normatively, appreciating the
communal nature in problem solving settings; and 4) Communicative, attempting to
understand the meaning of an interpretation empathically. Transforming our frames of
reference for Mezirow (1997), occurs through what he terms, "critical reflection on the
assumptions upon which our interpretations and beliefs are based" (p. 7). For Brookfield
(1994), the process of critical reflection, beyond questioning assumptions, includes a
willingness to question the premise of a given problem, such that one is open to
reframing it. This process is one which is both objective, empathically reframing
assumptions of others, and subjective or, reframing one's own assumptions. This process
is requisite for sustaining commitment of a team in a given transformational endeavor
(Brookfield, 1994; Mezirow, 2000).

Another component of the transformational learning process is reflective
discourse (Mezirow, 1997; Mezirow, 2000), or communicating with intent to identify
shared understanding. Mezirow (2000), argues that problem solving can be more effectively achieved if those in the discourse are collectively permitted to: 1) Assess justifications of beliefs; 2) Consider relevant support for a given argument; and 3) Evaluate alternative perspectives. Belenky and Stanton (2000) contributed another consideration specific to the central purpose and underlying phenomenon of this study. They argue that under this construct of discourse, community includes the immature and marginalized stakeholder participants. For this population, discourse enables them a forum in which to be open about the meaning of their experiences and for other participants to develop an appreciative understanding of those lived experiences and how they view, "the nature of the society they live in" (p. 74). Kegan (2000) wrote that having one's voice heard is precuratory for one to fully participate, asserting that the two greatest yearnings are for inclusion and for a sense of agency, in the sense of an intimate dependency, one with another. Inherent in discourse, are broader considerations of relationship and power (Kegan, 2000).

Participating in this process requires emotional maturity, analogous to the concept of emotional intelligence, as defined by Salovey and Mayer (1990) to mean "The subset of social intelligence that involves the ability to monitor one's own and others' feelings and emotions, to discriminate among them and to use this information to guide one's thinking and actions" (p. 189). Building on the work of Salovey and Mayer, Goleman (1995) utilized emotional intelligence to critically examine the meaning of intellect and its construct. Goleman outlined emotional intelligence as a function of 1) Knowing one's emotions or having continual self-awareness; 2) Managing one's emotions; 3) Motivating oneself; 4) Empathically recognizing emotions in others; and 5) Effectively managing
emotions in relationships. According to Goleman (1995), these five traits cumulatively, when optimized, can account for up to 90% of one’s successes in the workplace (Goleman, 1995), an assessment shared by Bennis (1998).

Burns (1978), Howell & Avolio (1992), Bass and Steidlmeier (1999), among others, found morality as a factor in examining transformational leadership characteristics. While Burns (1978) found transformational leaders could be morally uplifting, it was not attached to a specific ethical referent. Howell and Avolio (1992) found transformational leadership at odds with a leader who's primarily motivated by self-interest. Rather, they associated transformational leaders with those concerned for common good; a utilitarian concept (Howell & Avolio, 1992). Like Burns (1978) however, they did not tie a moral imperative directly to transformational leadership (Howell & Avolio, 1992).

Bass and Steidlmeier (1999) argue that morality is foundational to transformational leadership, conveying a perception of authenticity. There are three cornerstones of ethical leadership linked to a policing organization's ethical policing performance, and central to the purpose of the current study. These ethics are:
1) Leadership character; 2) Ethics contained in the leader's vision, sufficient to engender follower support; and 3) The morality of the processes of social ethical choice and action that leaders and followers engage in and collectively pursue (Bass & Steidlmeier, 1999).

For Bass and Steidlmeier (1999), idealized influence, inspirational motivation, intellectual stimulation, and individualized consideration are identified as key transformational leadership traits. The ethics of leadership character and ethical envisioning are related directly to idealized influence. Engendering support and making
socially responsive ethical choices in a meaningful and collaborative manner serves as motivational inspiration. Intellectual stimulation arises as a function of a leader inviting followers to challenge assumptions and contribute new or complementary problem-solving solutions. Finally, individualized consideration arises through a leader's character which, they assert, "treats each follower as an individual and provides coaching, mentoring and growth opportunities" (Bass & Steidlmeier, 1999, p. 2).

Many research studies comparing the efficacy of transactional versus transformational leadership have been undertaken. While some findings have shown that influence is greater in transactional approaches, others suggest transformational leadership may provide greater influencing capacity in terms of the superior-subordinate relationship (Deluga & Souza, 1991). Nonetheless, police leaders generally continue to use both leadership styles, but tend to favor a transactional approach in their organizations (Silverstri, 2007). Transformational leadership may be instructive in creating shared vision. Murphy & Drodge (2003) identified four contextual and requisite components in transformational leadership, relative to the leader-subordinate relationship in a policing case study. These included individualized consideration (facilitating one’s purpose and passion); idealized influence (fostering trust between leader and follower); inspirational motivation (communicating a vision); and intellectual stimulation (challenging assumptions & continuous development). Here, there is overlap in the foregoing literature, as Boverie and Krotz (2001) wrote on the primacy of passion, Fitch (2011) on idealized influence, Bass and Steidlmeier (1999) on the importance of communicating a shared vision, and Cunliffe (2009) on the matter of challenging assumptions and continual growth through reflexivity.
While policing organizations fit the often-cited traditional mechanistic framework, established by Bass (1985), Singer & Singer (2001) found transformational leadership to be both prevalent and preferential in policing organizations when compared with transactional leadership. According to Singer and Singer (2001), transformational leadership in policing need not, and arguably should not, be void of transactional behaviors. Optimal outcomes may be obtained when transformational leaders utilize a predominantly non-forcing, and rational style, coupled with a lesser utilized, directive approach that is intentional and targeted, particularly when interaction of the two styles is keenly implemented (Emans, Munduate, Klaver & Van de Vliert, 2003).

**Change Management**

Ongoing change is an organizational reality. Tension and resistance arising from a contemplated change undertaking is typically a function of speed and pervasiveness of change and its impact upon the culture. According to Kotter (1996), when faced with the potential of a transformative change effort, many organizational members typically argue against it. Evidence suggests that many organizational members would prefer a steady but targeted incremental change approach, as it is less disruptive to the organization. Of course, transformational change, by design and at its core, is disruptive.

In *Leading Change*, Kotter (1996) argues that failed transformative change initiatives can typically be traced to six common errors: 1) Complacency, identified as the primary cause particularly when change is urgent; 2) Failure to create critical mass involved in guiding a coalition, sufficient to overcome powerful and multiple forms of opposition; 3) Unclear/lack of vision, at a strategic level; 4) Exponentially
under-communicating vision; 5) Failing to plan for some short-term wins, as change undertakings are typically complex and lengthy; and 6) Failing to decisively establish and diffuse an initially promising change initiative. Viewing these six factors in light of the preceding literature review, on community policing in particular, it is likely that all six have played a role as to why some 40-50 years post transition to community policing, assessing its relative efficacy and diffusion remains elusive.

More specific to the problem undertaken in this study, relates to performance change. Since this study seeks to understand how a policing executive organizationally develops and sustains ethical performance, organizational structures, processes, support, and the like were primarily considered. Performance improvement interventions have similar characteristics (Gilley, Dean, & Bierema, 2001). First, there is most often an internal or external event or circumstance giving rise to a needed change, resulting from a gap in performance. Subsequently, a problem-solving analysis must be undertaken, the extent to which is a function of the relative complexity of the performance gap. Problem solving steps should include, according to Gilley, et al. (2001): 1) Identification of what, if anything, the organization is currently doing to address the gap; 2) Identify what the organization should do to address the gap; 3) Identify any internal or external changes that might affect an intervention, as it is implemented; and 4) Clarify and emphasize how the intervention will serve the mission of the organization, while likewise serving to meet the needs of organizational members.
Change management will be further considered in this review, in combination with organizational change and organizational transformation, and both will be reviewed through the lens of diffusion of innovations theory (Rogers, 2003).

**Leadership Summary**

Learning organization leaders serve as designers (setting vision and purpose), teachers, (role modeling critical self-reflection and examining assumptions), and stewards (servant leaders safeguarding the public trust in policing), (Senge, 1990). The work of leadership is to develop a shared vision, create a productive work culture, and diffuse leadership across the organization (Leithwood &Poplin, 1992).

**Organizational Learning**

In the *Fifth Discipline*, Senge (1990) introduced the notion of a learning organization, wherein he views organizations as dynamical systems in a state of continuous adaptation and improvement. For Senge (2006), “Building learning-oriented cultures is...fraught with risks, either of failing to realize true cultural change, or of succeeding in doing so and thus becoming a threat to those who want to keep things as they are" (Senge, 2006, p.272). Organizational learning, in the context of ethics in policing, is generally on the onus of individual officers, supported with rare instances of in-service training (Delattre, 2006; Fitch, 2011). Police training and learning is largely exchanged through the learning constructs of behaviorism, cognitivism, and humanism, all of which occur in varying degrees of interconnectivity and synergy, producing a social learning environment.
A considerable portion of learning within a policing context and culture has long been associated with a behaviorist learning construct, particularly in terms of psychomotor and other forms of skill development, creating behavioral change, and seeking compliance with both internal and external stakeholders (Gilley, Dean, & Bierema, 2001). Many training behavioral objectives, couched in terms of identifiable knowledge and skill competencies, have their origins in behavioral learning theory (Merriam & Caffarella, 1999). The adult behaviorist philosophy is foundational to the notion that “learners are encouraged to learn and adopt behaviors, skills, and competencies” (p.26). Gestalt learning theorists began arguing a cognitivist approach, asserting behaviorism was too isolated in its construct, largely relegating learning under the umbrella of simple stimulus-response and, without consideration of context and process (Merriam & Caffarella, 1999).

Merriam and Caffarella (1999) suggest that cognitivism introduced the importance of learning as it relates to problem solving, largely from drawing upon one’s experiences. Cognitivists believe learners have the capacity to identify elements involved in a given problem and discern solutions. Therefore, a considerable distinction is identified between behaviorists and cognitivists with regard to “the locus of control over the learning activity” (Merriam & Caffarella, 1999, p. 254). Cognitive theorists argue that learning occurs with respect to patterns, and also raise the idea of evaluating learning in terms of the whole rather than singularly. This theory suggests that “The human mind is not simply a passive exchange-terminal system where the stimuli arrive and the appropriate response leaves. Rather, the thinking person interprets sensations and gives
meaning to the events that impinge upon his consciousness” (Merriam & Caffarella, 1999, p. 253).

A number of cognitive learning theories utilize mental processes as an underlying premise including, “information processing theories, work on memory a meta-cognition, theories of transfer…the study of expertise, computer simulations, and artificial intelligence” (Merriam & Caffarella, 1999, p. 254). Finger and Brand (1999) commented on the work of Senge (2006), regarding his systemic approach to learning in an organization through a collaborative information sharing system, as rooted in cognitivist theory. The humanist orientation considers learning as “the human potential for growth” (Merriam & Caffarella, 1999, p. 256). According to Merriam and Caffarella (1999), well known psychologists Abraham Maslow (1968) and Carl Rogers (1962) provided the framework for this orientation. In the humanist view, individuals have the capacity and desire to make decisions and accept the consequences of those decisions. Rogers linked personal growth with learning, and identified relative attributes to be personal involvement, initiative, evaluative, and an overriding desire to understand meaning.

Unlike behaviorists, humanists (Gilley, Dean, & Bierema, 2001), building upon the whole notion, developed in cognitivism, and serving to facilitate social learning, “create knowledge through cooperative interaction with groups in a supportive setting” (Merriam & Cafferella, 1999, p. 28).

The core of social learning theory rests with the belief that individuals learn from observing the behavior of others, and represents a blending of the behaviorists and cognitivists (Merriam & Caffarella, 1999). Merriam and Caffarella (1999) cited Miller and Dollard as having identified the imitative component related to behavioral learning.
theory, while Bandura concentrated on the cognitive processing involved when observing others. Bandura (1989), wrote of the vicarious, modeling, and visualization aspects of learning with regard to cognition through observation. The level of motivation or willingness to engage in adult learning activities, as suggested by Merriam and Caffarella (1999), may be attributable to social learning theory and its attendant external locus of control orientation.

Gilley, Dean, and Bierema (2001) cited Kuchinke’s (1999) work on classifying philosophical orientations in human resource development by person-centered, production-centered, and principled problem-solving. Interestingly, this framework carries with it theoretical learning underpinnings of humanism, behaviorism, and cognitive-developmental, respectively. According to Kuchinke (1999), developmental referents of person-centered, production-centered, and principle-centered are markedly differentiated and informative with respect to their relative “assumptions about the nature of organizations” (Gilley, Dean, & Bierema, 2001, p. 37), as described in Table 8.

<table>
<thead>
<tr>
<th><strong>Person-Centered</strong></th>
<th><strong>Product/Service-Centered</strong></th>
<th><strong>Principle-Centered</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td>Person-oriented, optimal organizational functioning through happy people.</td>
<td>Goal-oriented, goals determined by owner, human capital employed to achieve goals.</td>
<td>Stakeholder-oriented, temporary and dynamically changing configuration of needs and wants of various stakeholders.</td>
</tr>
</tbody>
</table>

Table 8: Developmental Referents: Assumptions - Nature of Organizations (Kuchinke, 1999).

Spitzer (2000) argues for a move toward principle-based ethical behavior, writing: When principles are inviolable, they should be viewed as the source of collective nobility and identity. They are what we stand for. They describe our inner being and what is likely to emerge from our actions. Principles, then, not only stem the
tide of rationalization, they also ground true nobility, loyalty, and sacrifice by fostering intrinsic goodness (p. 5).

This inviolable and collective nobility is not sustainable, absent organizational stewardship and communicated vision from its top leadership. Connecting organizational members to this vision is a function, organizationally, of developing, communicating, and infusing it into the organizational culture.

Culture

According to Key (1999), “By definition, culture is _shared_ beliefs of an organization’s members, hence the ethical culture of an organization would be reflected in the beliefs about the ethics of an organization which are shared by its members” (p. 217). Key (1999) conducted research to evaluate the efficacy of an ethical culture survey designed in prior research. From this research, Key (1999) concluded the instrument may evaluate an individual’s perceptions regarding organizational ethics, but could not identify shared beliefs about an organization’s ethical performance.

Organizational culture provides norms that afford individual members’ behavioral cues. Organizational culture, whether healthy or unhealthy, is believed to influence the ethical conduct of individual members (Key, 1999). Studies continue to demonstrate that when ethical behavior is positively reinforced, the organization’s ethical performance improves (Adams, Tashchian, & Shore, 2001; Andreoli & Lefkowitz, 2009; Elango, Paul, Kundu, & Paudel, 2010; Sims, 1991).

Harshman and Harshman (1999) suggest a set of practices to create a communication planning and delivery process that is collaborative among employees which helps to ensure communication processes are relevant to the needs of stakeholders.
First, the effort must be viewed as believable and inclusive. Secondly, a communication oversight committee should be created, which includes employees with the authority to identify communicational problems and create or modify process solutions. The rationale here is to facilitate a platform for communication which has integrity in both design and delivery. Harshman and Harshman argue that the committee should have the authority to operate independently of the organization’s formal communication process. They further suggest conducting a communications audit to establish a baseline and to guide the subsequent planning process. The objective is to guide change effectively (Harshman and Harshman, 1999).

Much of the communication in contemporary bureaucratic organizations, accomplishes the opposite of what is intended by contributing to a growing sense of mistrust and erosion of credibility in the organization and its leadership. Mistrust and a lack of credibility are part of a pattern in many organizations, resulting in diminished morale, commitment, and ultimately, performance. As a result, employees in these organizations often view leaders as lacking credibility. The likely consequence is an ineffective organization in which its employees typically perform far below their potential (Harshman & Harshman, 1999).

Development communication theory related to developmental communication and developmental discourse has application for social and cultural change within organizations. On the role of power in development practice:

Articulating structural conditions and informal dynamics may help to illuminate the process through which social change may be enacted. Focusing on process, some advocate promoting the ability of communities to participate in the design,
implementation, and an evaluation of interventions (Wilkins & Mody, 2001, p. 389).

Palmer (1993) discusses ethical education as “one that creates a capacity for connectedness” (p. xviii). He promotes the richness of community and connectedness, and warns that misguided critical thinking can result in disengagement and misunderstanding the organization's tolerance of ambiguity. According to Palmer (1993), critical thinking should be understood as a method of participation, and tolerance of ambiguity as a manner in which to actively listen to others while not losing one’s voice. Similarly, in organizations, the development of an effective learning organization is impossible on the margins. The model developed here contemplates an overlaid, pervasive, and systemic infusing of a framework capable of driving interconnectedness among individuals, groups, and the organization (Palmer, 1993). According to Senge (2006), on the matter of organizational learning and culture:

Building learning-oriented cultures is hard work in any setting…indeed, it is a never-ending journey. It is fraught with risks, either of failing to realize true cultural change, or of succeeding in doing so and thus becoming a threat to those who want to keep things as they are. Building learning-oriented cultures is demanding because learning stretches us personally, and it is always easier to stay in our comfort zone (p.272).

Organizational Performance

In Chapter One, it was pointed out that ethics – specifically ethical performance – is a core competency in policing, yet the responsibility for performing ethically is essentially delegated to individual officers. And, while individual officers should rightly
be held accountable for their conduct, it should follow then, that ethical performance would be strategized organizationally to ensure its core competency of ethical performance is effectively executed. Given the research question, exploring organizational performance management of ethical policing should be closely examined. According to Armstrong (2000), performance management must be holistically pursued as "It takes a comprehensive view of constituents of performance" (p. 5).

Adapted from Schein (2004), performance management in policing is a strategic and integrated process that delivers sustained success to an organization by improving performance of human capital and by developing the capabilities of individual contributors, units and teams. It should be strategic in the sense that it is concerned with the broader issues facing an organization if it is to function effectively in its environment, and with the general direction in which the organization intends to go to achieve its long-term goals. Performance management in policing is integrated in two ways: 1) Vertical integration, which is the linkage or aligning of an organization, unit or team, and individual objectives with core competencies; and 2) Horizontal integration, which is the linking of different aspects of human resource management, to achieve a coherent approach to managing and developing people.

Individual performance, as illustrated in Figure 5, emanates from, and is integrated with, organizational performance, as illustrated in Figure 6. A policing executive must communicate strategies and objectives and ensure performance measures align accordingly (Armstrong, 2000).

While ethical performance is espoused in virtually every policing organizational mission statement, either implicitly or explicitly, research demonstrates there are wide
variations among agencies, with respect to the prevalence of organizational ethical integrity (Klockars, Ivkovich, Harver, & Haberfeld, 2000; Maguire, 2004). For Fitch (2014), the importance of an organization's strategically driven ethical performance management system must consist of much more than mere ethical rhetoric, "but rather organizations and the members within them must be personally and collectively committed to ensuring high ethical standard of professional performance, and an organization's structural components must be in place that support this objective" (p. 22).

Figure 5: Individual Level Performance Management (Armstrong, 2000).

Figure 6: Organizational Level Performance Management (Armstrong, 2000).
Organizational Change & Transformation

*Diffusion of Innovations*

In his seminal work *Diffusion of Innovations* (DOI), Rogers (2003) developed a comprehensive framework for understanding the nature, attributes, development and decision processes, adoption, networks, and organizational aspects of DOI, all of which are critical in contemplation of any diffusion undertaking. DOI attributes are identified as relative advantage, compatibility, complexity, trialability, and observability. All, with exception of complexity, are positively correlated as supportive, in the DOI process (Rogers, 2003).

Rogers (2003) defines diffusion as, “The process in which an innovation is communicated through certain channels over time among members of a social system” (p. 5). In writing on policy innovation, Eyestone (1977) defines diffusion as, “Any pattern of successive adoptions of a policy innovation” (p.441). An innovation is an idea, practice, or object” (Rogers, 2003, p.12), which is new. The matter of newness, Rogers (2003) argues, may be either objectively or perceptively held, as newness is considered from the perspective of an individual or an organization. Diffusion communication occurs when a new idea is exchanged. "The essence of the diffusion process is the information exchange through which one individual communicates a new idea to one or several others” (Rogers, 2003, p. 18).

The conduit through which this communication occurs is a communication channel, defined as, “The conditions under which a source will or will not transmit the innovation to the receiver and the effect of the transfer” (Rogers, 2003, p. 18). For Stone (2001), “Networks are an organizational form with extraordinary capacities for
innovation...facilitating joint action and gathering information in a manner that flows around and between geographical, legal, and institutional barriers...they have the potential to influence policy” (p. 15).

Consistent with Rogers' (2003) discussion of change agents, lead users, and opinion leaders, Stone (2001) comments on the notion of policy entrepreneurs and their relative ability to spread new ideas and information via networks. Both cite social learning as the effective enabler within a given network (Rogers, 2003; Stone, 2001). Similarly, Boehmke and Witmer (2004), found that social learning diffusion was influential in policy innovation adoption, with regard to governmental innovation diffusion. Mintrom and Vergari (1998) stress the importance of entrepreneurs, relative to diffusion of policy innovations.

The bell curve has been an effective method for discussing product life cycles and management of technologies, among others. The adoption life cycle is central to DOI theory (Rogers, 2003). The DOI adoption life cycle is depicted in Figure 7.

Figure 7: Diffusion of Innovations Adoption Life Cycle: Innovation and Adopter Categories (Rogers, 2003).
Rogers (2003) describes DOI in terms of the organizational and decision-making innovation process, which consists of two phases. In phase one, agenda-setting starts the process, in which problems and resolution requirements are first identified. This is followed by matching problems with innovations, and includes adaptive tailoring. Between phase one and two, there is a decision point, wherein it is decided to quit or move forward with implementation. If the process proceeds to phase two, it includes three sections: 1) Redefining or restructuring; 2) Clarifying; and 3) Routinizing of the innovation - assimilation or changing of organizational culture. This process, as depicted in Rogers (2003), is illustrated in Figure 8.

![Organizational Innovation Process](image)

*Figure 8: Organizational Innovation Process and Decision-Making (Rogers, 2003).*

Building upon Rogers’ (2003) agenda-setting initiation phase, as identified in Figure 8, relative to effective organizational innovation, health promotion researchers emphasized the importance and application of inclusion, in policy agenda-setting. They identified the following agenda-setting components: 1) Networking with individuals, organizations, and communities; 2) Collaboration with stakeholders; 3) Create a shared
vision; and 4) Influencing key decision makers and gatekeepers (Kozel, Kane, Hatcher, Hubbell, Dearing, & Forster-Cox, 2006). Policy innovation diffusion effectiveness is positively correlated with its relative institutionalization (Tolbert and Zucker, 1983).

Broner, Franczak, Dye, and McAllister (2001) developed a consensus model of policy making, pursuant to a study in which four key structural elements, essential to a consensus infrastructure, were identified: 1) Leadership capacity to initiate and promote the endeavor; 2) Network of key stakeholders to empower community ownership of the endeavor; 3) A process for strategic consensus building; and 4) A multi-directional dialogue to disseminate information. The components of leadership, networking and empowering stakeholders, and building consensus to ultimately provided transparent and interconnected information flow, provides the requisite systems framework to build an ethical organization (Broner, Franczak, Dye, & McAllister, 2001). Buckley and Westerland (2004) argue for the need to consider broadening diffusion model testing to include, in addition to the staple of event history analysis, duration dependence, estimating models with several functional forms, and others.

Research in the field of training and workforce development continue to identify and elaborate on factors that either serve to facilitate or hamper training and technology transfer (Cromwell & Kolb, 2002; Enos & Kehrhahn, 2002; Foxon, 1993; Kupritz & Reddy, 2002; Roche, 2000; Subedi, 2004). Workforce development and sustainability are matters explicitly contemplated in the research question of this study and therefore, Lewin’s training transfer model, as adapted by Foxon (1993) is potentially instructive to data collection, analysis, and findings. The training transfer environment, including both
supporting and inhibiting factors, primarily as a function of organizational culture, is illustrated in Figure 9.

Similar to diffusion attributes identified by Rogers (2003), Bandura (1977), through his social learning theory, developed attributes associated with the relative ability to modify behavior through training. These attributes too, have application in any contemplated change, transformation, or training and development plan. In Table 9, Roger's (2003) diffusion attributes are compared with Bandura's (1977) behavior modification attributes. Brief definitions of each attribute are provided. Rogers specifically referred to the close relationship and applicability of Bandura's social learning theory in his DOI text.

*Figure 9: Lewin's Transfer of Training (Foxon, 1993).*
Review of Related Literature Summary

The preceding provided an overview context for this study by highlighting literature in three key areas: 1) Social contract theory, including policing history and the power - trust relationship; 2) Leadership; and 3) Organizational development. The literature review revealed that policing is often constructed as a function of leadership working in and through organizations to fight crime and disorder, yet the social contract is often ancillary in the equation. Chapter Three will provide the framework for attempting to explore the type of leadership and organizational construct necessary to positively influence the policing power - public trust relationship.

<table>
<thead>
<tr>
<th>Rogers Diffusion of Innovations Theory Diffusion Attributes</th>
<th>Bandura Social Learning Theory Behavior Modification Attributes</th>
</tr>
</thead>
<tbody>
<tr>
<td><em>Relative Advantage:</em> Degree to which an innovation is perceived to be better than status quo. The greater benefit(s) one perceives from the innovation, objectively or subjectively, the greater likelihood of adoption.</td>
<td><em>Incentive:</em> Is there sufficient motivating factors to cause a learner to want to change and then continue new behavior? The greater benefit(s) one perceives from the behavior, objectively or subjectively, the greater likelihood of modifying behavior.</td>
</tr>
<tr>
<td><em>Trialability:</em> Is the innovation (object or idea) something that can be trialed? Trialability reduces adoption uncertainty, and increases the likelihood of adoption.</td>
<td><em>Attention:</em> Refers to garnering attention. Is something testable or observable? Is testing and/or observing is in conjunction with a person of admiration, attention is greater, as is the likelihood of modifying behavior.</td>
</tr>
<tr>
<td><em>Observability:</em> Degree to which innovation results are visible. Greater visibility equates to peer-peer discussion, and likelihood of adoption may be greater.</td>
<td></td>
</tr>
<tr>
<td><em>Compatibility:</em> Will the innovation work within the current values and norm of a system? If yes, then likelihood of adoption is greater.</td>
<td><em>Retention:</em> Can learner remember how to use the new thing or idea? Are there ways in which new behaviors can be incorporated into existing knowledge? Is there potential for using the new thing or idea in a constructive or innovative way for which it was not originally intended? Yes answers equate to greater likelihood of modifying behavior.</td>
</tr>
<tr>
<td><em>Complexity:</em> The degree to which an innovation is perceived too difficult to use or understand. Fewer complexes equates to greater likelihood of adoption.</td>
<td><em>Reproduction:</em> Is the learner capable of successfully demonstrating the learned behavior? If so, greater is the likelihood of modifying behavior.</td>
</tr>
</tbody>
</table>

*Table 9:* Comparing Likelihood of Adopting an Innovation *with* Likelihood of Modifying Behavior. Diffusion of Innovations (Rogers, 2003); Social Learning (Bandura, 1977).
CHAPTER THREE

Methods

Introduction

The preceding chapters have elucidated the historical context of the policing power-public trust relationship and the current "public trust expectations gap" as a function of unethical performance, primarily related to administering procedural justice. Both policing executives and academic researchers often consider policing performance through the lens of fighting crime and maintaining order. While ethical performance is a core competency (Delattre, 1996; Delattre, 2006; Fitch, 2014; Fleming, 2015; Jetmore, 2005; Normore, & Fitch, 2011; O'Malley, 1997), the policing organizational standard is to entrust ethical performance to individual police officers, holding those accountable for unethical conduct, if discovered, through an internal affairs function. From a systematic review of policing leadership related to policing performance and outcomes, "we still have little understanding of 'what works' in police leadership" (Pearson-Goff, & Herrington, 2013, p. 21). Therefore, the purpose of this chapter is to outline and support the methodology employed to guide the research design in this study and to explore the research question (Creswell, 2003; Crotty, 1998; Jones, Torres, & Arminio, 2006).

Research Question

How does a police executive develop and sustain an ethically performing organization, vis-à-vis the policing power-public trust relationship?
Research Design

This inquiry utilized a mixed methods research design. According to Creswell (2009), research design is a function of the philosophical worldview of the researcher, combined and congruent with the inquiry strategy. Research design informs the rationale for selecting data collection methods, which are delineated in the following section. Therefore, this research design section is outlined as follows:

- **Philosophical Framework**
- **Inquiry Strategy**
  - Mixed Methods
  - Case Study
    - **Site**
    - **Participants**

**Philosophical Framework**

According to Kuhn (1962), a paradigm is an "accepted model or pattern" (p. 23). The overarching philosophical rationale used to design this study was grounded in pragmatism, the predominant research paradigm in mixed methods research, and one which has gained considerable resurgence in the past half century, garnering foremost attention in contemporary mixed methods literature (Cherryholmes, 1992; Creswell, 2009; Morgan, 2007; Tashakkori & Teddlie, 2003; Teddlie & Tashakkori, 2009). Pragmatism proponents argue that what works is superior to selection of a purely qualitative or quantitative method when, in combination, a mixed methods application is preferential to addressing research problems and answering research questions (Howe, 1988; Patton, 1990).
It is difficult to imagine how a quantitative study design could explore, through a single bounded case, how a leader develops and sustains anything across the interconnected complexities of an organization. Given the research question and the policing power - public trust phenomenological underpinning, which is socially-constructed and contextually rich, qualitative interviewing was most tenable.

By contrast, a secondary but complementary form of data collected in this study was through police officers, under the command of the same policing executive. Since this was an exploratory case study, it was critical to examine the extent of congruence between the policing executive and police officers, relative to the research question. The approach to this study effectively precluded the use of qualitative data collection with this group, including interviewing and small group discussions. There are potential problems inherent when conducting a study in which police officers would be interviewed, whether alone or in small groups, as questions raised would likely directly or tangentially relate to their chief's organizational performance.

Trustworthiness of data obtained under such methods could be inherently compromised, and the rationale, for those choosing to participate and those choosing not to participate, would be of concern and unknowable. These issues would likely require considerable discussion in the limitations section of Chapter Five, unnecessarily raising questions of data trustworthiness and rigor. Therefore, a confidential, anonymous, and electronically administered – researcher distanced – quantitative survey was offered to the entire study site population.

As Cherryholmes (1992) argues:
Pragmatic research is driven by anticipated consequences. Pragmatic choices about what to research and how to go about it are conditioned by where we want to go in the broadest of senses. Values, aesthetics, politics, and social and normative preferences are integral to pragmatic research (p.17).

Inquiry Strategy

Mixed Methods

A mixed methods exploratory case study was the inquiry strategy used for this study. According to Creswell (2009), in addition to simply using both quantitative and qualitative approaches, mixed methods entails a mixing of the two genres within the study. One intention of selecting a mixed methods strategy was that its synergistic effect would prove superior to both a qualitative or quantitative inquiry, alone.

Specifically, the research consisted of a sequential exploratory design. Creswell (2009), defines this type of inquiry as involving the following:

A first phase of qualitative data collection and analysis, followed by a second phase of quantitative data collection and analysis that builds on findings of the first qualitative phase. Weight is generally placed on the first phase, and the data are mixed through being connected between the qualitative data analysis and the quantitative data collection...the purpose of this strategy is to use quantitative data and findings to assist in the interpretation of qualitative finding...the primary focus of this model is to initially explore a phenomenon (Creswell, 2009, p. 211).

The study was entirely consistent with this strategy, as well as that of Miles and Huberman (1994), but also consisted of a third QUAL data collection component. Upon completion of the QUAL + quan + QUAL design, all integrated data underwent
interpretation to provide the basis for writing the two concluding chapters in this study. This inquiry strategy is illustrated in Figure 10.

**Mixed Methods**

**Exploratory Case Study**

**Sequential QUAL + quan + QUAL Design**

![Diagram](image)

*Adapted from Creswell, Research Design, Sequential Exploratory Design, 2009*

*Figure 10: Illustrated Research Design and Inquiry Strategy Plan.*

**Case Study**

In addition to the foregoing rationale for weighting this inquiry qualitatively, the research question was explored through a case study and an underpinning phenomenological reality, both of which are typically examined through a qualitative lens of inquiry. On the former, Stake (1995), identifies a case study as a deep exploration of a program, process, or activity of one or more persons. Stake (1995), further delineates case studies based on the intent of the study. Case studies may be: 1) Intrinsic in which the focused intent of the case is to explore the uniqueness or intricacies of the case itself; 2) Collective, whereby a particular problem is the focus, and multiple cases are selected.
to illuminate the matter; and 3) Instrumental, whereby a researcher likewise focuses on a problem, but then selects one bounded case to explore a research question (Creswell, 2007; Stake, 1995). This study is most closely associated to an instrumental case strategy, as the researcher focused on how a policing executive develops and sustains an ethically performing organization, vis-à-vis the phenomenological underpinning of the policing power - public trust relationship. And so, although only one policing executive was interviewed in this study, this particular executive and police officers at this study site were of secondary concern to exploring and developing a greater understanding of the how in the research question, what it might entail for a leader, and the methodology necessary for a given diffusion initiative to succeed, organizationally.

Site

To study how a policing executive develops and sustains an ethically performing organization, the researcher selected and was granted access to a midsize city in the western United States. According to the US Census, the city is among the 200 most populous cities in the nation. It has a disproportionately high crime rate and high incidence of poverty, in comparison to its population ranking. Approximately 25% of city inhabitants live below the federally established poverty line. It is a very ethnically diverse city with gender ratios approximately equal. About 50% of households have at least one residing minor child. Approximately 40% of city inhabitants are between the ages of 18 and 44, with a median age near 30. The number of owner-occupied and rental-occupied housing units are nearly equal. The police chief is answerable to the mayor. This geographic and demographic information is outlined to lend some context to
the study, but further specificity of information could needlessly jeopardize anonymity of the study site and participants.

The International Association of Chiefs of Police (IACP) categorize city police departments by size of city population. These categories, with corresponding population approximations are identified in Table 10.

<table>
<thead>
<tr>
<th>Categorized Size of City Police Department</th>
<th>Based Upon City Population Size</th>
<th>Approximate Combined Population For All Cities, per Category</th>
<th>Approximate percentage of total US Population</th>
<th>Approximate Number of City Police Departments</th>
</tr>
</thead>
<tbody>
<tr>
<td>Small</td>
<td>&lt; 50,000</td>
<td>93 Million</td>
<td>30 %</td>
<td>16,000</td>
</tr>
<tr>
<td>Midsize</td>
<td>&gt; 50,000 but &lt; 500,000</td>
<td>75 Million</td>
<td>25 %</td>
<td>700</td>
</tr>
<tr>
<td>Large</td>
<td>&gt;500,000</td>
<td>140 Million</td>
<td>45 %</td>
<td>33</td>
</tr>
</tbody>
</table>

*Table 10: Categorization of City Police Departments by Population.*

**Participants**

The primary participant in this research study was a policing executive of a midsize city in the western United States. This executive has served as the chief of police in this agency for more than one year. This executive was selected after the researcher held discussions with others in the study site community about matters related to this executive's ethical leadership and personal integrity, after reviewing publicized accounts and after conducting public research. The researcher also held an informal meeting with the executive to discuss the potential for conducting this inquiry with the executive and the executive's departmental staff. From what the researcher learned, this executive has a stellar record and is generally held in high esteem in the study site community.

Not only did this executive express a general willingness to participate, but also indicated amenability to providing me with business e-mail addresses of all officers.
Therefore, the remaining potential study participant pool included the entire population of all police officers, excluding the policing executive. All were sent an electronic, confidential, anonymized survey. Of course, the actual participants in this study were those officers who independently chose to complete and submit the online survey.

Data Collection

Interview One

The primary data collection method was a QUAL semi-structured interview, followed by a quan survey, with a final QUAL semi-structured interview. As depicted in Figure 10, Interview One was the initial phase of the data collection process. This initial interview provided some of the richest insight into the research question of this study. "Phenomenology is the study of lived experiences and the ways we understand those experiences...it rests on the assumption that there is a structure and essence to shared experiences that can be narrated" (Marshall & Rossman, 2006, p. 104). Semi-structured questions for this interview are located in Appendix B.

With case study, the convention is to converge or triangulate data sources which accurately reflect participants’ intended meaning and understanding of a given phenomenon (Creswell, 2007; Creswell, 2009; Stake, 2005). To this end, an initial interview with the policing executive was analyzed to inform and adapt a secondary quantitative survey. In turn, the survey was analyzed and integrated with analysis from the first policing executive interview, to formulate additional follow-up and clarifying questions of the policing executive in a second interview.
Exploratory interviews are normally constructed with open-ended questions and little pre-planned structure. A researcher typically reveals the research problem, and through the interactive exchange seeks to find new information to inform the study research question and problem (Kvale & Brinkmann, 2009).

Survey Instrument

A survey instrument was used as secondary quan data collection in this mixed methods case study. As described previously, and as illustrated in Figure 10, the primary QUAL interviewing data collection was analyzed and a review process was undertaken to inform the quan data collection survey instrument. The instrument was designed to gathered demographic information for each participant relative to years of service, rank, ethnicity, age, and gender and was comprised of 20 Likert scaled statements. The survey instrument is in Appendix D. It was constructed with the understanding that QUAL data developed from Interview One could necessitate an amending of the survey instrument to better fit the data. Subsequent to obtaining the relevant QUAL data, but prior to administering the quan survey, the survey instrument first underwent pilot testing.

Interview Two

A subsequent and final QUAL interview with the policing executive was conducted, but only after having completed these six steps: 1) QUAL interview data collection from the policing executive and data analysis; 2) Adapting/Editing/Completing the quan survey instrument; 3) Pilot testing the survey instrument; 4) Administering the survey instrument; 5) Analyzing survey instrument data; 6) and integrating and analyzing the QUAL + quan data. The purpose for Interview Two was to compare and contrast data interrelationships relative to preliminary analysis and integration of Interview One
and survey data. In addition, Interview Two included a constructivist approach to a second set of semi-structured questions with probing follow-up. Interview Two semi-structured questions are in Appendix E.

**Procedures**

Prior to conducting the initial interview with the policing executive, the researcher scheduled an interview date and time convenient for the policing executive and discussed the importance of recording the interview with the police chief. The chief concurred and therefore, note taking was used sparingly. The interview was conducted at a location that ensured privacy and was free of interruptions. The interview with the policing executive was conducted using semi-structured questions. Due to the exploratory case study design, there was a wide swath of material to cover. In total, the interview questions covered issues related to the research problem, phenomenological foundation, and research question.

As alluded to in the beginning of this chapter, the researcher utilized the tenets of constructivism during the interview. Despite the passionate attachment to the research topic, the researcher intentionally conducted considerable self-reflection ahead of the interview in order to allow the interviewee sufficient uninterrupted space in the initial portion of the interview. As the researcher-interviewee relationship developed during the interview, the researcher began co-constructing, in the sense that an exchange of ideas, clarifications, seeking first to understand, and listening empathically served to better elucidate the lived experience of the policing executive.

Since the interview was recorded, the researcher personally safeguarded interview tapes in a locked safe and personally transcribed the interview in privacy. Interview tapes
and written transcriptions continued to be safeguarded, under the sole physical control of the researcher. Interview notes were likewise maintained and safeguarded.

In this mixed methods study, to bolster internal validity in this QUAL component of the case study, triangulation was accomplished. Triangulation is the use of multiple data gathering methods to create redundancy and confirmation of data, through an iterative process of analysis and integration, and ultimately interpretation (Creswell, 2007; Creswell & Plano Clark, 2011; Klenke, 2008; Stake, 2005). Further, the use of member checking (Creswell & Plano Clark, 2011; Stake, 2005, or member validation (Kvale & Brinkmann, 2009) provided further internal validity and direct confirmation of data accuracy, by providing transcripts to the interviewee and discussing or clarifying any ambiguities that might be noted. For member checking to be robust, it was conducted in close chronological proximity to the interview, as the memories of both researcher and interviewee typically fade over time. The executive concurred with the transcription accuracy in its entirety. Established procedures for Interview One were likewise applicable, and essentially identical, for Interview Two.

Pilot Study

As described in the data collection section the proposed study survey instrument underwent a validating pilot study, prior to it being administered to study site sworn personnel. This pilot study was developed by senior research statistician David Collingridge. The pilot study process and steps taken were as follows:
Step 1: Establish Content and Face Validity

Subsequent to receiving approval to proceed with the study, including the articulated pilot study plan, content and face validity was accomplished by submitting the preliminary survey instrument for review to: 1) An expert in the field of policing; and 2) An expert in survey question/statement construction. The policing expert has approximately 30 years of leadership and management experience in the field of policing and is widely regarded as a domestic and international police training and development expert. The expert in survey question/statement construction has considerable experience in the field. Both experts hold terminal degrees in a relevant discipline.

Step 2: Run Pilot Test

At the time the pilot study was conducted, the known population, and demographics of the study site organization were limited to an approximate $N$ of 240, delineated only by rank. Therefore, a stratified sample, by rank, at 10% of the study site organization's sworn personnel population was identified. The researcher received permission from the New Mexico State Police (NMSP) Chief to conduct the pilot study with NMSP sworn personnel, according to the rank-stratified sampling plan. Each potential pilot study participant was sent an individually addressed e-mail to ensure confidentiality. Each potential participant received identical e-mail content, identifying the purpose of the study and pilot study, and all were assured that confidentiality would be maintained throughout the process. They were informed that participation was voluntary, and were requested to participate through an attached SurveyMonkey® link. After three follow-up email reminders/requests, the pilot survey link was closed, and a total of seven responses were received, equating to a response rate of 29%.
Step 3: Clean Collected Data

The seven responses were entered into an Excel spreadsheet and reverse coding was conducted on the positive and negative phrased statement pairings, (1 and 15) and (3 and 17). Statistics were calculated after having assigned numerical values to Likert scale phrasing as follows:

Stronely Agree = 1; Somewhat Agree = 2; Somewhat Disagree = 3; Strongly Disagree = 4.

These findings are outlined in Chapter Four.

Step 4: Principal Components Analysis (PCA)

In this study, conducting PCA was not feasible due to the high number of pilot study survey statements, 20, relative to a respondent n of only seven. However, other pilot studies have been conducted using Chronbach's Alpha (CA), and without having used PCA, whereby researchers validated the internal consistency reliability of the survey instrument under study (Hoover et al., 2017; Mammadova, Sultanov, Hajiyeva, Aichberger, & Heinz, 2012).

Step 5: Check Internal Consistency Reliability - Chronbach's Alpha (CA).

SPSS was used to conduct CA testing which measures the instrument's internal consistency reliability. CA test values range from (.00 to 1.0). Values ≥ .70 are typically recognized as acceptable for determining internal consistency and reliability. In general, the greater the CA value, the greater the internal consistency and reliability of a given instrument.
Step 6. Final Revision

The final stage of the validation process was to revise the survey based upon the information gathered in steps one through five. One pilot survey instrument question required minor rephrasing and was the only change necessitated as a consequence of performing the pilot study, and is discussed in Chapter Four. Therefore, the pilot survey instrument was readied for administering to the study site sworn personnel population. This validating process bolstered internal consistency reliability of the survey instrument. The survey instrument is in Appendix D.

Subsequent to completing the pilot study, an electronic version of the amended survey instrument was e-mailed to the chief, requesting final approval to distribute to the organization's sworn personnel. The chief initially expressed some hesitation with the qualifying term, "primary," utilized in four survey instrument statements. Ultimately, the researcher and the chief settled on a compromise solution, whereby the four questions remained unaltered. However, a comments text box was added, in the event any participants wanted to qualify their answers.

Data Analysis

Qualitative Data

The primary method for analyzing QUAL data was through the use of content analysis. Content analysis was used to systematically categorize large amounts of textual rich data which, through key word coding and high frequency occurrences, began to emerge as findings and were further developed to provide the most complete, and comprehensive representation possible (Chávez, 2007; Marshall & Rossman, 2006).
For Creswell (2009), qualitative data analysis proceeds from specifics to more general, and it is an ongoing iterative process, as depicted in Figure 10. This process begins by organizing and preparing the data for analysis, and includes transcribing recorded interviews. This process was accomplished as soon as was practicable upon completion of each interview session with the chief, as was the member checking process.

Creswell (2009) emphasizes the need, as the next step in the analysis process, to read the entire transcript and reflect on its overall meaning. At this point, a detailed analysis commenced through use of the aforementioned coding process, which is a method of taking a large body of material and organizing it into smaller units of data. Creswell (2009) writes that he encourages qualitative researchers to analyze data using the following steps as guides. Accordingly, this researcher utilized these in conducting the qualitative analysis in this study:

1) Codes on topics that readers would expect to find based on the past literature and common sense; 2) Codes that are surprising and were not anticipated at the beginning of the study; 3) Codes that are unusual and are, in and of themselves, of conceptual interest that address a larger theoretical perspective in the research; 4) Use the coding process to generate a description of the setting or people as well as categories or themes for analysis. Description involves a detailed rendering of information about people, places, or events in a setting; 5) Advance how the findings and themes will be represented in the qualitative narrative. The most popular approach is to use a narrative passage to convey the findings of the analysis (Creswell, 2009, p. 186-189).
Subsequently, the researcher utilized Atlas.ti8, a qualitative data analysis software program, to aid with identifying relevant and prevalent data, and to organize, compare, contrast, and connect data. Atlas.ti8 has the capability of illustrating data to the benefit of the user and in turn, enables the user to illustrate data richness and data relationships.

**Quantitative Data**

Since pilot testing of the Likert scaled survey resulted in a validated instrument, and subsequent to post content analysis of the interview with the police chief, the survey instrument was administered electronically. The first two pages of the electronic survey contained statement of confidentiality and participation agreement forms, respectively. Data obtained from the Likert scaled survey statements were compared with in-depth qualitative interview data.

**Goodness and Trustworthiness**

One must be careful to have a deliberative process in understanding what is included and excluded with regard to interviewing and surveying research participants. The researcher in this study established introductory comments to inform the interviewee and survey participants about the relative logic and rationale for the research, but without bias. This balanced approach of informing without one's own passion or bias, serves to engender trust and create more open communication (Jones, Torres, & Arminio, 2006).

Further, triangulating the data through multiple data collection methods, together with sound data analysis provided credibility in findings (Guba & Lincoln, 2005). Consequently, data emerged as findings, and were further developed systematically hereby themes emerged to provide the most complete, comprehensive representation possible (Chávez, 2007; Marshall & Rossman, 2006; Tobin & Begley, 2004).
**Reseacher Positionality and Bias**

Given the topic of this dissertation, and having developed a passion for policing ethics over the course of thirty years in the profession, it was appropriate to discuss positionality and researcher bias. Foundational to the notion of my involvement in this mixed methods research, is an understanding that it necessarily includes articulating relationships of researcher-participant and researcher-topic (Jones, Torres, & Arminio, 2006). Further, appreciating the nature and perspectives of insider/outsider relationships is instructive with regard to restraining one's bias relative to gathering, analyzing and interpreting data (Fine, 1994).

With respect to researcher-participant, the researcher had an outsider relationship with the policing executive in this study. Further, the researcher held an outsider relationship with all police officers employed with the police department study site. Nonetheless, there exists an inherent insider relationship among police officers, whether currently serving or retired, with regard to their common, albeit differing, policing experience.

The researcher has an unequivocal insider relationship with respect to researcher-topic. The researcher has devoted thirty-one years to policing, much of which entailed internal affairs related work. The researcher has known many police officers who consistently performed with the highest ethical standards throughout their careers. By contrast, the researcher was exposed on many occasions to significant ethical lapses on the part of many officers, the ramifications of which served to create deleterious consequences for the police - public trust relationship.
The researcher was assigned as the organization's ethics instructor for many years. The researcher designed curriculum and delivered training throughout the organization, including recruit schools, in-service training, and executive staff development. After serving in various leadership capacities, the researcher became increasingly concerned that policing generally, is fundamentally flawed in terms of failing to fully appreciate the fragile and dynamic nature of its power - trust relationship with its citizenry, and the organizational stewardship role therein. This stewardship responsibility applies internally to the organization's sworn personnel too, through training, support, mentoring, and the like, as they are repeatedly subjected to emotionally challenging situations and circumstances for which normal coping mechanisms may prove insufficient. In policing, excellence of character and professional conduct can be a matter of individual officers behaving with remarkable courage and restraint, in spite of their leadership, not because of it. The researcher holds that high quality ethical performance in policing tends to occur through the inherent ethical integrity of police officers, rather than having been developed and sustained as a consequence of organizational strategy, commitment and performance.

Finally, two issues of potential bias arise with regard to having selected this study site, and are worth consideration and understanding. First, as alluded to in the positionality articulation, the researcher has a particular view of ethical policing. To mitigate bias, it proved beneficial to consider this research question, and the interpretive analysis that followed, outside the confines of the researcher's policing experience in terms of geography, agency, culture, and stakeholder demographics. By placing oneself in a setting with which the researcher is unfamiliar, opportunities for open-mindedness,
discovery, and an implicit ability to search deeper for an enriched understanding is greater (Marshall & Rossman, 2006). Second, the outsider perspective brings with it the requisite necessity to guard against the other bias (Denzin & Lincoln, 2005; Fine, 1994). This can best be remedied by seeking to understand through listening empathically, striving to understand well the intended meaning conveyed by the policing executive, and to clarify assumptions. Prior to conducting interviews with the policing executive, the researcher underwent reflective self-examination to mitigate bias and to permit an openness, relative to exploring the research question and phenomenological underpinning of this study (Marshall & Rossman, 2006).
CHAPTER FOUR

Findings

Introduction

There are ongoing and spirited public discussions and debate with respect to the status of the U.S. social contract, particularly as it relates to the policing power - public trust relationship. Whether intentionally misrepresented, misperceived, misunderstood, or factually accurate, when police officers’ conduct is of questionable legality and ethical performance, even if only on the part of a few, it has resounding effects. It not only questions policing legitimacy in the locality where it occurred, but often reverberates nationally to impact other organizations and their members. This communication diffusion, often expressed in the form of anger, fear, and anxiety, is a function of the phenomenological policing power - public trust relationship, common throughout the nation's police organizations and their communities.

This exploratory study attempted to frame the issues of public trust within the pragmatic realities of modern policing. The evidence strongly suggests that public trust of policing has become a significant issue in the U.S., with significant concern being raised in respect to ethical performance. Yet, there are numerous examples of police organizations which have managed to create positive public trust relationships in their communities through effective leadership, some of which were reviewed in Chapter Two. The findings in this dissertation study revealed a similar example. Through a case study approach, this inquiry revealed how a successful policing executive in a mid size city in the Western U.S. leads an organization through change and development while maintaining ethical performance.
The underlying purpose of this study was to explore the phenomenological power - trust relationship between policing and its citizen stakeholders. The following research question guided the inquiry: How does a police executive develop and sustain an ethically-performing organization, vis-à-vis the policing power - public trust relationship?

Consistent with the methodology outlined in Chapter Three, the study utilizes qualitative description, consisting of a detailed rendering of information about people, places and events in the study site. This is accomplished primarily through narrative passage and integration of data to identify key findings and themes in the study (Creswell, 2009). The concluding portion of Chapter Four identifies themes that emerged from the collective findings. Findings and themes were developed under the construct of a mixed methods, exploratory sequential QUAL + quan + QUAL case study design (Creswell, 2009; Miles & Huberman, 1994; Miles, Huberman, & Saldana, 2014). The following chronologically-developed sections are presented in Chapter Four.

1. Qualitative
   - Chief of Police: Interview One
   - Interview One Analyzed to Inform Survey Instrument

2. Quantitative
   - Survey Instrument Pilot Tested and Validated
   - Sworn Personnel: Survey Instrument

3. Integrated
   - Data: QUAL + quan
   - Integration Informs Interview Two

4. Qualitative
   - Chief of Police: Interview Two

5. Integrated
   - Integration of Data: QUAL + quan + QUAL
As a consequence of promising to retain confidentiality regarding the identity of the chief, the organization, and its personnel, the pronouns (*he, him, his, himself, she, her, hers, herself*) will not be used when referring to the chief.

**Qualitative Data**

Findings from Chief of Police Interview One:

*Finding One:* Espousing and leveraging conventional tenets of principle guiding policing documents is pragmatically considered.

As this exploratory study was qualitatively weighted on the lived experiences of a policing executive responsible for developing and sustaining ethical performance, an important information starting point was the assessment of how, and to what extent, the executive leverages the organization's guiding documents. During the interview, the chief conveyed the organization's principle guiding documents in their entirety. These are as follows:

- **Vision Statement:** Setting a standard in policing.
- **Mission Statement:** To provide progressive quality police service in a safe environment to improve the quality of life and a reduction in crime through problem recognition and problem solving.
- **Core Values:** Commitment to public service, leadership, integrity, accountability and respect for the law.

Yet, while these guiding documents exist and are foundational to the organization’s functioning, it is interesting to note the chief’s remark, upon articulating the mission statement. The chief said, "Trust me, I have not actually said those words to anybody in probably 10 years." This executive's initial commentary on the relative value placed on these documents and their guiding tenets was surprising and unexpected.
(Creswell, 2009). For example, when asked about setting an ethical vision for the organization, the chief stated, "I don't know that I have ever made the statement to the organization of an ethical vision."

Concerning tenets of the mission statement, the chief added:

So ...you know we've checked the box, so to speak, in terms of having the mission statement, and the core values and all of those popular kind of business-structure type things. They were introduced in our agency almost twenty years ago... And they exist on all of our documents, and on the sides of our cars and those types of things, but they don't necessarily, they don't come up in the day-to-day conversation of the agency. They're there...It's not something that we center all of our day-to-day activities around..., is what we're doing fulfilling the mission statement or the values of the organization.

Probative questioning regarding the chief's rationale for electing to forgo the option of explicitly leveraging the dictates of the organization's guiding documents revealed three key underlying motivations.

Motivation One: The former chief arbitrarily demeaned officers by spontaneously requiring recitation of the organization's ethical guiding documents.

The chief commented on what was described as a difficult history pertaining to both the development and implementation of their vision statement, mission statement and core values. The chief stated:

When that particular chief brought it [the guiding documents] into the organization...literally, all in the span of a couple of months, they [executive staff] rolled out a mission statement, the core values and a vision statement - all in one. And of course, the way you push that out to an organization is you ask people about it, you question them about it and you have discussions about it and you integrate it into your promotional processes; everything like that.

But in our agency it became kind of a gotcha [emphasis added] thing. The chief had a reputation of walking through the aisles and...hallways of the station and arbitrarily stopping somebody...he wouldn't know your name, he wouldn't know anything about you, but he'd ask you to recite the core values. So it...almost kind of bastardized those things within a cynical police organization, to do that type of thing to cops and embarrass them or call them out like that.
Analysis of the data revealed that this history has a profound and lasting impact upon the organization and subsequent leadership. The chief added, "Because of that experience, when that chief left, that sort of activity and that focus on those things, on a day-to-day basis...eventually just kind of worked their way into the backseat of the organization."

Lastly, the chief often invoked the terms "recite/reciting" when discussing ethics in the context of its application in the organization. The following quote is another example of this connection described early in the interview. Also, it links to the second of three key motivations, supporting Finding One.

There is still kind of a very raw component to policing, and the types of people that we recruit and the types of people that tend to be drawn to this business are not necessarily the types of people that sort of stuff resonates with - asking them to recite those types of things.

**Motivation Two:** Tacit behavior modeling is inherently more effective in this policing culture than explicitly and repeatedly articulating expected behavior.

The chief remarked on having worked diligently with and through staff regarding the importance of role modeling, through day-to-day interactions and activities, in order to develop and enhance officers' understanding of the organization's desired behaviors. The police chief discussed the importance of ethical role-modeling by field training officers (FTOs), which many in policing view as unrivaled in terms of their influence and impact upon an officer's career. The chief provided some insight into the expectations of FTOs specifically, and role modeling, generally. The chief explained:

I think a career [in policing] is an evolution in many ways...there certainly is in that first year, between your academy training, which is always very, very strict and for the most part very consistent because of that environment. We all know that when you hit the streets and now you're working with people that have been
doing the job for varied numbers of years that have varying degrees of professionalism, and then you factor into that, the real world that takes place around them, I think there's a lot of that first year or those first couple of years...that become the baseline for somebody to test the limits and realize what's acceptable and what is not acceptable...but I don't lay that square at the feet of the FTOs. We put the responsibility to the FTOs to teach people how to be police officers. We expect everybody in the organization to model the behavior...we know we're not perfect at it. Nobody's perfect at it. And we know that we've got officers that sometimes don't model behavior that we want. But we expect the entire organization to do it.

In answer to a probing question on how the chief instills in officers an understanding of expected performance, as a function of the power - trust relationship, absent explicit articulation of the organization's guiding principles, the chief said:

I think what would be fairly reasonable to say is that everybody knows that the expectation is that you always do the right thing for the right reasons. And you don't compromise your ethics. You don't compromise your integrity for anybody. And that's an important foundation for the work that we do. When you come into...our organization, there's some very kind of consistent messages that have made their way through the organization...This famous saying, "If you lie, you die." You don't lie. And that permeates everything in the way that we do our job.

By way of example and exemplifying the consequences of lying, the chief added,

We've had cases over the years of misconduct on the part of one person, only to have the witnessing officer come in and basically try to lie for them or cover for them...only to have the original guy come in, and having told the truth, the original guy will get disciplined for what he did wrong and the second guy will end up getting fired for lying.

Similar to the chief's approach with lower ranking officers, time and effort dedicated to executive staff meetings is reserved for handling pressing matters and other relevant issues which warrant executive staff level consideration and discussion. The chief commented that ethical behavior is “a given,” an integral part of performance and expected, but not something routinely or explicitly discussed in staff meetings.
Motivation Three: There is a risk of developing a culture of cynicism if a chief chooses to explicitly champion tenets of an organization's guiding documents when a combination of the external environment and available policing resources often serve to preclude fulfilling those tenets.

The chief described the community as a “rough town,” a city in which the business of policing is sometimes ugly. Further, the organization routinely experiences substantial demands for its policing services, particularly regarding emergency calls and other publicly-generated calls for service. As a consequence, patrol officers are often unable to conduct follow-up investigations or otherwise engage in community policing activities. In turn, this creates frustration in both the organization and among those in need of labor-intensive policing resources. This, in turn, negatively impacts the policing power - public trust relationship. The chief explained the resourcing situation faced in the organization stating,

It's hard to sometimes think of that [mission statement language] in the context of daily police work. There is sometimes a disconnect behind the day-to-day business...within the realities of our capacity. The reality is, we would love to do quality work on every single case. But the other side of that reality is we don't have the capacity to do that...Our capacity tells us that we have to basically shun...a whole lot of work that's very, very important to people [emphasis added], but we just don't have the capacity to do it. We have to prioritize our resources.

The organization's long-standing mission statement is "To provide progressive quality police service in a safe environment to improve the quality of life and a reduction in crime through problem recognition and problem solving." However, the chief finds it difficult to reconcile that statement with the policing environment in which the chief must lead. Illustratively, the chief described the city stating,

We have among the highest poverty rates in the country. We have among the highest crime rates in the country. We are so [emphasis added] far away from where we need to be from a socio-economic standpoint to actually turn the corner
and make [the city] a desirable place that maybe you would want to move to...We're a long ways away from that. And that creates some huge challenges.

Given these significant and wide-ranging challenges, the chief has been careful not to explicitly and overtly champion within the organization the police department’s stated vision, mission, and core values. The chief believes that trite recitation might be viewed by organizational members as contradictory, particularly with regard to the resource constraints imposed from a limited workforce due to budget restrictions. The chief provided the following example to exemplify the sizeable constraints under which sworn personnel operate:

The reality is we know that very, very few residential burglaries actually get solved. They're all solvable. Every single one of them is solvable if [the officer] has the time to start canvassing the neighborhood...on who's who and who's doing what and who was around here...And you put enough of that...nose to the ground, investigative work into solving that burglary, we'll solve it, eventually...but we can't do it...It's going to get into a system. Eventually, a detective looks at it and, unless there is something tale-tale..."I think John Smith down the street did this and I think so for the following reasons...and my neighbor said he saw John Smith walking around." Well now we've got something to work [with], right? But outside of that, run-of-the-mill burglary, it gets into a cycle...If you come home and your house is broken into, you would love nothing more than for those officers to work it to the end...and solve it. The reality is, we just don't have the luxury to do that.

The chief presented a rather bleak appraisal and outlook of the criminal justice system too, asserting that community members' confidence in the criminal justice system to positively impact their quality of life is currently minimal and likely to worsen. According to the chief, since so many in the community have contact with the police at a time when they are distressed or in crisis, the organization is ascribed a disproportionate responsibility "for a system that is failing miserably." In this manner, the chief believes
this has as much to do with the policing power - public trust relationship, if not more than perhaps anything. As the chief noted,

I often tell people that the fact that there's very little consequence for criminals now...that there's a revolving door and we're not keeping people behind bars any more. And it does not affect people living in...the nicer neighborhoods and behind their gated communities. It affects those people that are living in the most vulnerable places in the first place [emphasis added].

How do we expect those people to trust us and have confidence in us, that we are there for them...really are on their side...really will do what we can within our power to make your life better, when we can't even keep the bad actors out of their neighborhood?

When we go into a neighborhood and we take somebody out of a neighborhood who's a bad actor, and that neighborhood gets a sense of relief and they're happy that we got that person out, only to have that person come back the next day or the next week, more emboldened than ever, because the system can't touch them, and more emboldened to terrorize that neighborhood even more...why do we expect anybody in that neighborhood to trust us? It's not even reasonable. It's a complete breakdown of the system.

Despite these challenges, the chief maintains that patrol officers continue to work diligently to develop relationships in the community, to the extent possible, given their limited discretionary time. The chief also believes that, if asked, community members would say the police department is, in turn, working diligently to engage with the community.

**Finding Two:** The external impact of ethical performance is a function of the level of internal effort, successfully invested to develop officers throughout their careers.

The chief delineated a belief of two types of ethics. The chief described "treating people well, providing good service, treating people with respect,” as comprising ethics in the broader context of policing. The chief views the organization's external ethical environment as consisting of many uncontrollable factors. Consequently, the chief consciously directs the organization's effort toward laying a foundation for success, and
referred to this as "a whole other part of ethics." The chief believes that investing in and developing officers' performance, including ethics, through role modeling and other organizational messaging, is a vital component to effective, ethical policing. This is particularly critical in view of the fact that “Officers are bombarded [emphasis added] with opportunities to do wrong.” The chief outlined a philosophical framework as follows:

What I'm concerned, focused on though is what do we need to do when bringing a person into the organization. We know, to some degree, there's a recipe for getting from year one to year thirty. And if you take the concept that you want to hire to retire - if investing in them - you want a return on that investment by time and effort and commitment to the organization, over the years. Then, investing in them, especially early on, in terms of doing everything we can to help them be successful, understanding what it takes to be successful, I think is a whole other part of ethics.

In addition to espousing a role-modeling leadership style in guiding the organization's ethical performance, the chief focuses dutifully to hire the right people, and then to invest, develop, and sustain them. Fundamental to this investment strategy in the officer cadre is a realistic assessment of the multitude of challenges the organization faces. The chief recruits trainees who have been identified through the hiring process as having a sensible awareness of reality, flexibility in thought, and an appreciation that the world around them is imperfect. This type of trainee "will transition into this understanding of the business side of police work a lot easier." By contrast, the chief
seeks to identify and eliminate applicants who "want to change the world," because, as the chief observed, "they will be sorely disappointed and probably not successful."

Trainees which successfully complete the police academy training are assigned to an FTO for a period of approximately six months. During the FTO period, new officers begin to apply their academy training in ‘real world’ policing situations. The organization's FTO program is responsible for equipping new officers with the skills and judgment necessary to be successful. The chief proffered some organizational FTO history, providing informative context with respect to the organization's current philosophy on the program, as follows:

We had a culture back then where the FTOs, in many cases, it was a badge of honor for them to...mistreat the trainees...[the] trainee would have a bad day and the FTO would be screaming at them in the car and would literally... in uniform, they would take them to the McDonalds and tell them to go in and get a job application because you're not going to be working here much longer...That culture has evolved...I've told my sergeants and the lieutenants...if I ever hear a single story of us doing that to a trainee, I'm going to have somebody's ass...we have invested a lot to hire somebody. By the time they have successfully navigated our hiring process, and we've sent them to the academy, we have a lot invested in them, and it's my expectation of you that you are to make them successful. You [emphasis added] figure out to make them successful.

And it has dramatically [emphasis added] changed the culture of the organization and that training component...and the guys in that program know that if they’re going to come to the chief...and say, "We really think we need to cut this guy," they'd better have been able to demonstrate that they have done everything within their power [emphasis added] to make that person successful...when they can demonstrate that, we'll support them every time.

The chief responded to a question on whether there is a process or program in the organization to provide officers with training and development, specific to ethics. This question relates to two survey statements on training, development, and ethics. The chief stated:

So, we have a pretty consistent and robust training program. And actually, this past year, I changed up everybody's schedules and...we created a scheduling
system that creates two overlap days a month. So, we have the opportunity to literally, every single officer in the agency can, on a monthly basis, have at least one, ten-hour shift, dedicated solely to training.

The chief’s response also has application in Finding Three as it creates opportunities for in-service, best practice training for the organization's personnel.

To support the police department’s administration in light of budget restrictions, the chief contracted with a business that specializes in policing policy. The organization is provided with new industry policies as they arise and is also routinely provided with policy updates related to case law and legislative enactments. The chief also contracts to receive online daily training bulletins (DTBs), which provide policy application training, typically delivered in scenario-based format. With regard to the potential focus on ethics and public trust that the DTBs might afford the organization's officers, the chief said,

I think that there's a benefit when you are constantly putting something in front of your officers that basically, constantly reminds them of the rules, and testing them against the rules. I think that constantly reiterates to people...a standard.

Regardless of whether or not that daily training bulletin actually touches on a truly [emphasis added] ethical issue, there's this culture in the organization of this reinforcement of rules...There is, of course, an entire record of it, so, if we ever have a misconduct case - we've had this happen a couple of times - with a sustained allegation of misconduct and they'll go, ‘I was never trained on that.’ ‘Well, actually you did this DTB on this particular day and we've got a record of it and you answered right, and so you knew exactly [emphasis added] what the policy was.’

Policy and related daily training bulletins likewise have application in Finding Three.

**Finding Three:** Ethical performance and organizational culture are positively impacted when policing best practice is pursued and implemented, and the rationale for doing so is understood, embraced and diffused throughout the organization.
As mentioned in Finding Two, the organization's policy and related DTBs have application here. As the chief stated:

It's an industry best practice manual that also stays consistent with case law changes and legislative updates and all those types of things that need to be built into your policy. So, we know policy just has a lot of agency nuances...So, as part of the implementation process, we went through it. There's... industry best practice, and then we insert [city specific material]. Several times a year they do updates.

In conjunction with that, you subscribe to a separate service which is the daily training bulletins...the daily training bulletins are sent to us on a monthly basis...Then, somebody in our training unit goes through and carves out the...most applicable to us...we find the ones in there that fit [our needs].

As the interview unfolded, a thread that was increasingly evident was the chief's passion for developing an organizational culture that welcomes an evolving policing industry. The chief capitalizes upon other organizations' successes and failures, coupled with an early adopter, best practices, strategic approach to leadership, by referencing multiple industry sources on a daily basis. This practice permeates and supports the other findings related to the chief's interviews as outlined throughout this chapter.

As an example of embracing evolving police practice that directly impacts ethical policing is the recent introduction of body cameras worn by patrol officers. This is a clear example of a best practice approach that is directly related to the findings. The chief was keen to adopt the wearing of body cameras not only as an emergent best practice that would be expected of the organization by a multitude of stakeholders, but as an urgent necessity.

The chief requested and received federal grant funding, enabling the organization to implement the initiative. The organization worked through a deliberative process to evaluate the effectiveness of several body cameras, prior to choosing the one which was
recommended to the chief by evaluating officers in the field. Aside from the actual benefit afforded the organization, this leadership approach appears to have created a culture of trust around the chief’s decision-making, as evidenced by a willingness by the patrolling officers to accept body camera usage. Requiring officers to wear body cameras could have resulted in a very contentious situation between the chief and officers, and yet, it did not. The chief explained the implementation of this new technology as follows:

So, we just implemented a body camera program. We're outfitting every officer with a body camera right now. I will tell you where I think we've gone with this. If you would have tried to implement a body camera program in our department five or ten years ago, there would have been a fight. There would have been union issues, there'd have been labor issues, there'd have been fights over policy, and "shall record" or "may record," and just all those little nuances that come into play because cops would not have wanted to do it.

There is a lot of truth to the fact that this business is ugly sometimes...there's just an ugly side to it...We deal with...people in their worst moments, and in crisis, and quite often that's just an ugly process...[So], we just implemented the [body camera] program. We have not had one grievance. I have not had one detractor. I have not had one single person [emphasis added] in the organization come and say, ‘We don’t want these.’ That is how the outside world has changed policing so dramatically, that even cops who, just a few years ago would have talked about the ugliness of this business is not a place to be on video all the time, will now say, ‘I want the camera to validate what I do. I want the camera to show that what I’m doing is the right way.’

That's the way it's played out in our department so far. And, we're a rough city...we're a rough city where there's a lot of rough stuff is going to be on camera. And yet, they've all just said, ‘It's time. We want them.’ So you know, the old Hill Street Blues thing was you'd break briefing, and the old sergeant up there would [say], ‘Be careful out there.’ Well, it's almost a little bit of a joke, but there's some truth to this, ‘Make a good movie today.’

Although the chief attributed external pressure on policing as having caused the organization's officers to willingly accept wearing body cameras, findings from this interview suggest that the chief’s influential role in developing the organization's ‘adaptive-change culture’, likewise contributed to the officers' accepting attitude. For
example, from a follow-up question on the impetus for electing to initiate a body-worn camera program, the chief stated:

So, from a management standpoint, one of the things that I've always looked to do, and I see it as one of my jobs is, you've got to make the organization accountable and you've got to put the organization in a defensible position for anything. So, as you look at the landscape out there, you see that national dialogue on policing and what was taking place...you knew that you were moving in that direction.

The chief was likewise an early adopter of police legitimacy and procedural justice training, another contemporary best practice, particularly relevant to this inquiry.

The chief described how this training initiative developed, stating:

Police legitimacy, procedural justice...evolved into the national discussion after Ferguson and South Carolina, on some of those issues where the need to reiterate to the public that you were training your officers...was believed to be very, very effective at helping officers to understand the communities that they police...a lot of scenario-based stuff, a lot of actual videotaped encounters of police with the public...And then broken down and analyzed of what an officer could have done better.

When you see a lot of those videos without context, you know a lot of times cops really look bad in a lot of those types of things. So, it's talking about that stuff. It's talking about histories of relations...When you get into the history component of it, you...talk about your city, and teaching young cops...'five years ago, we had this incident, twelve years ago this incident took place, and fifteen years ago...'.....going back in history where certainly people in the community remember certain things...It's educating that workforce, that breakdown and that lack of trust or those things that have broken down in trust.

The chief provided a personal example of a situation in which an armed suspect was shot and killed by fellow police officers. Following the shooting, a benign gesture from one officer to another was observed by some bystanders and misinterpreted. That misinterpretation, and its ensuing widespread circulation and acceptance, resulted in a very lengthy and difficult period with regard to the police - public trust relationship. The chief then added,
But, the officers that come on now, they have no idea that happened 25 years ago. No clue whatsoever. But the people over in that neighborhood - 25 years later - remember that incident. It's part of the history. And, it doesn't matter how much you're out there building trust and building trust...One incident is going to erode a lot of that trust. Chips in the bank, chips in the bank...knowing that occasionally there's going to be withdrawals out of that bank. But keep enough chips in that bank to keep the community engaged and trusting you.

With regard to police legitimacy and procedural justice training specifically, and a best practice approach generally, the chief said:

Everybody benefits to some degree and a lot of them benefit a lot. But the one thing that it allows you to do, is if and when you have a crisis and if and when you have a problem, you have the ability to go back and say, 'These are all the things we've done as an organization to make us accountable, to make us essentially an industry best practice in terms of trying to provide good quality service and police in the right way.'

**Finding Four:** Ethical performance is a function of the relative health of organizational culture.

The chief was asked, ‘In what ways does your organizational culture support ethical performance?’ The reply revealed the chief’s referential and compelling linkage attributed to culture and its impact upon the organization's ethical performance. The chief said:

*I think culture is quite possibly the single biggest driver of that [ethical] performance* [emphasis added]. I talk about culture a lot in our organization. When we talk about why things are the way they are...history...we'll frequently talk about the culture, that where things have been accepted, where things have not been accepted.

We are like any other organization, we are not perfect. But I also believe that we're an organization that is definitely moving in the right direction. And I think that we have made huge strides at trying to change and evolve that culture. And I think a by-product of it is just things as simple as the body camera...a culture that once would have really fought that is now embracing it. You talk enough to your organization about the need to change and evolve and keep up with the times and you know, for the most part, they get onboard. If anything, you make it personal to them.
I came up in an organization that it was perfectly acceptable to badmouth the city. It was perfectly acceptable to have somebody come up to you on the streets and say, ‘Hey, I'm from out of town, what's a good restaurant?’ And you'd be like, ‘Go down the freeway to about four more exits, to the next town...,” just almost like a joke, but perfectly acceptable, because this city, it's a rough town. It's a rough town with a lot of problems. I'm trying to change that.

The chief recognizes the deleterious effect informal culture can have in the organization, and acknowledged that every organization has people who are not good ambassadors of the organization’s work and who negatively influence the organization’s culture. The chief described becoming disconnected from informal channels of communication as an inherent weakness with which every chief must contend. As the chief observed, "It's just a reality."

As outlined in Chapter One, within policing organizations, Internal Affairs Units are responsible for conducting ‘post-facto’ investigations and they have a special and distinct relationship with the chief. From an administrative standpoint, everyone in the organization is answerable to the chief; however, on matters related to suspected employee misconduct, everyone is likewise answerable to Internal Affairs. In this way, Internal Affairs is essentially an extension of the Office of the Chief. Most investigations handled by Internal Affairs arise as a result of alleged unethical conduct. Therefore, the chief was asked a question, which was also included in the survey instrument, as follows: ‘How do you believe your Internal Affairs functions in terms of conducting impartial investigations?’

The chief acknowledged that, like most states, they have legislation that dictates officers' rights and the parameters within which internal affairs investigations are to be conducted. In addition, the chief has a general expectation that internal affairs
investigators treat officers respectfully, even when the misconduct allegations are egregious. The chief remarked that even in situations when an officer dislikes the investigative outcome or consequences imposed, the investigated officer should always be able to say they were treated respectfully. Relative to alleged officer misconduct, the chief said rudeness is the most common complaint internal affairs receives. The chief said they average about one to two major internal affairs cases per year and generally one termination per year related to officer misconduct.

**Finding Five:** An organization's fiscal instability may create transformative opportunities that positively impact ethical performance.

The chief was appointed to lead the organization at a time when the community was experiencing a dramatic economic decline; indeed, the city's financial solvency was in jeopardy. As a result, the chief had to identify how to police a community with a significantly reduced workforce and a host of other requisite budget reduction, cost-cutting measures that adversely impacted policing services. Closely linked to elements of culture and consistent with the chief's preference to role-model and influence desired behavior, the interview revealed a strategy employed by the chief, effectively leveraging the fiscal challenges into an opportunity to re-direct and motivate what had been an increasingly beleaguered workforce. Following the chief's description from Finding Four, of what had been a pernicious culture of bad-mouthing the city, the chief became the catalyst for transforming the officers' attitudes toward policing the city. The chief remarked:

Part of the dialogue in changing that with the department is not saying, ‘You shall not speak poorly of the city. You shall be an ambassador of the city.’ Because what are cops going to do? ‘Yeah right, Chief...go pound sand.’ We are a city that...because of the economic decline of the city, because of the problems the
city's had and people had a big scare about their retirement. People had a scare about the future viability of this place that they are invested in.

And so, the narrative that I've seized on out of that is...'We almost failed once, right? Can you give me any reason why you want this city to fail?’ And I said it to them just like that, and the room was dead silent - you could have heard a pin drop. And I can't tell you how many times since then, I've had people say, 'That was the first time I ever thought about it in that context: if the city fails, we fail.’ Figure out a way to make it successful.

Subsequent to completing and transcribing Interview One and conducting analysis to identify emergent findings, a preliminary concept diagram was developed to graphically illustrate the interrelationships of the findings, as depicted in Figure 11.

*Figure 11:* Preliminary Conceptualization of Interview One Findings and their Interrelationships.
Interview One Analyzed to Inform Survey Instrument

Findings from interview one were analyzed in summary and in detail and then compared with the preliminary survey instrument. This analysis then, served to inform the decision of whether the preliminary construct should be amended and if so, to what extent. Due to the data, findings and subsequent analysis, the researcher did not identify any survey instrument statements in need of amendment nor any reason to delete existing statements or add additional statements. Therefore, a pilot-study was undertaken pursuant to the methodology, as outlined in Chapter Three.

At the conclusion of interview one, the chief reviewed the preliminary survey and gave tentative authorization to proceed.

Quantitative Data

Pilot Study

As described in the data collection section the proposed study survey instrument underwent a validating pilot study, prior to it being administered to study site sworn personnel. This pilot study was developed by senior research statistician David Collingridge. The pilot study process and steps taken were as follows:

Step 1: Establish Content and Face Validity

Subsequent to receiving approval to proceed with the study, including the articulated pilot-study plan, face validity was accomplished by submitting the preliminary survey instrument for review by experts in the fields of policing and in survey question/statement construction. This process resulted in a change to survey instrument statement #14, as follows:
Original Statement #14: *For me, if some proposed new way of doing something does not interfere with the status quo, I usually do not mind the change.*

Revised Statement #14: *For me, if some proposed new way of doing something is not too disruptive, I usually do not mind the change.*

Step 2: Run Pilot Test

At the time the pilot study was conducted, the known population and demographics of the study site organization were limited to an approximate $N$ of 240, delineated only by rank. Therefore, a stratified sample by rank was identified at 10% of the study site organization's sworn personnel population was identified, as depicted in Table 11.

<table>
<thead>
<tr>
<th>Estimated Survey Population by Rank</th>
<th>Pilot Study Stratified Sample</th>
</tr>
</thead>
<tbody>
<tr>
<td>Study Site Population: $N = 240$</td>
<td>$n = 24$</td>
</tr>
<tr>
<td>Captain &amp; Above: 4</td>
<td>Captain&amp; Above: 1</td>
</tr>
<tr>
<td>Lieutenant: 10</td>
<td>Lieutenant: 1</td>
</tr>
<tr>
<td>Sergeant: 39</td>
<td>Sergeant: 4</td>
</tr>
<tr>
<td>Detectives: 44</td>
<td>Detectives: 4</td>
</tr>
<tr>
<td>Patrol Officers: 143</td>
<td>Patrol Officers: 14</td>
</tr>
</tbody>
</table>

*Table 11:* Estimated Survey Population and Stratified Pilot Study Sample Plan.

The researcher received permission from the New Mexico State Police Chief to conduct the pilot study with his sworn personnel according to the rank-stratified sampling plan outlined in Table 11. Each potential pilot-study participant was sent an individually addressed e-mail to ensure confidentiality. Each received identical e-mail content which identified the purpose of the study and the pilot-study with assurance that confidentiality would be maintained throughout the process. They were informed that participation was voluntary and were requested to participate through an attached SurveyMonkey® link. After three follow-up email reminders/requests, the pilot survey link was closed, and a total of seven responses were received, equating to a response rate of 29%.
Step 3: Clean Collected Data

The seven responses were entered into an Excel spreadsheet and reverse-coding was conducted on the positive and negative phrased statement pairings, (1 and 15) and (3 and 17). Statistics were calculated after having assigned numerical values to Likert scale phrasing as follows:

- **Strongly Agree** = 1; **Somewhat Agree** = 2; **Somewhat Disagree** = 3; **Strongly Disagree** = 4.

   Positively-phrased pilot statement #1 had a mean of 1.4, and its negatively-phrased counterpart, statement #15, a mean of 2.0. Positively-phrased statement #3 had a mean of 1.7, and its negatively-phrased counterpart, statement #17, a mean of 2.6. Although both negatively-phrased statements in the pairings (#15 and #17) received numerically higher scores than their counterparts, only statement #17 was above the scale mean of 2.5; ((1+4)/2). Pilot-survey statement content pairings (1 and 15) and (3 and 17) are provided in Table 12.

<table>
<thead>
<tr>
<th>Statement No.</th>
<th>Pilot Survey Statements</th>
<th>Pilot Survey Statements</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>The public has trust that our department's officers will conduct themselves ethically.</td>
<td>The public has trust that our department's officers will conduct themselves ethically.</td>
</tr>
<tr>
<td>15.</td>
<td>The public does not trust our officers to perform ethically.</td>
<td>The public does not trust our officers to perform ethically.</td>
</tr>
<tr>
<td>3.</td>
<td>Much of what I do in the community has a positive impact on public trust.</td>
<td>Much of what I do in the community has a positive impact on public trust.</td>
</tr>
<tr>
<td>17.</td>
<td>There is not much I can do in my community to increase public trust in the police.</td>
<td>There is not much I can do in my community to increase public trust in the police.</td>
</tr>
</tbody>
</table>

*Table 12: Positive and Negative Phrased Pilot Survey Statement Pairings.*

Step 4: Principal Components Analysis (PCA)

In this study, conducting PCA was not feasible due to the high number of pilot study survey statements, 20, relative to a respondent \( n \) of only seven. However, other pilot studies have resulted in validating survey or survey constructs, by using
Step 5: Check Internal Consistency Reliability - Chronbach's Alpha (CA)

SPSS was used to conduct CA testing, measuring the instrument's internal consistency reliability with test values ranging from (.00 to 1.0). Values ≥ .70 are recognized as acceptable for determining internal consistency and reliability. The greater the value, the greater the internal consistency and reliability. The CA pilot study result, when comparing 19 pilot study statements, was .763. This figure signifies that 76.3% of the variance in composite scores is reliable variance, and the remainder, error variance. The SPSS CA software excluded pilot survey Statement Number Four ("I believe that performing ethically is the most important part of my job.") because it contained no variance, as all pilot-study participants answered strongly agree. However, after removing negatively-phrased statements five, fifteen, and seventeen, as well as statements ten and fourteen, related to receptivity of change, CA increased marginally to .792. SPSS-generated descriptive statistics are displayed in Table 13.

<table>
<thead>
<tr>
<th>Pilot Statement Number</th>
<th>Mean</th>
<th>SD</th>
<th>N</th>
<th>Pilot Statement Number</th>
<th>Mean</th>
<th>SD</th>
<th>N</th>
<th>Pilot Statement Number</th>
<th>Mean</th>
<th>SD</th>
<th>N</th>
</tr>
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<tbody>
<tr>
<td>1</td>
<td>1.43</td>
<td>.535</td>
<td>7</td>
<td>8</td>
<td>1.43</td>
<td>.535</td>
<td>7</td>
<td>15</td>
<td>2.00</td>
<td>.816</td>
<td>7</td>
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<tr>
<td>2</td>
<td>1.43</td>
<td>.535</td>
<td>7</td>
<td>9</td>
<td>1.43</td>
<td>.787</td>
<td>7</td>
<td>16</td>
<td>2.00</td>
<td>.816</td>
<td>7</td>
</tr>
<tr>
<td>3</td>
<td>1.71</td>
<td>.756</td>
<td>7</td>
<td>10</td>
<td>1.71</td>
<td>.488</td>
<td>7</td>
<td>17</td>
<td>2.57</td>
<td>.976</td>
<td>7</td>
</tr>
<tr>
<td>4</td>
<td>1.00</td>
<td>-</td>
<td>7</td>
<td>11</td>
<td>1.86</td>
<td>.690</td>
<td>7</td>
<td>18</td>
<td>1.43</td>
<td>.535</td>
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<td>.976</td>
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<td>12</td>
<td>2.14</td>
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<td>1.57</td>
<td>.535</td>
<td>7</td>
<td></td>
<td></td>
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<td></td>
</tr>
</tbody>
</table>

*Table 13: Pilot Study Survey Descriptive Statistics*
Step 6. Final Revision

The final stage of the validation process was to revise the survey based upon the information gathered in steps one through five. The amended wording to Survey Statement #14 was the only change necessitated as a result of performing the pilot study. Therefore, the survey instrument was readied for administering to the sworn personnel population, targeted for this dissertation research study. This validating process bolstered internal consistency reliability of the survey instrument. The survey instrument is in Appendix D.

Subsequent to completing the pilot study, an electronic version of the amended survey instrument was e-mailed to the chief, requesting final approval to distribute to the organization's sworn personnel. The chief initially expressed some hesitation with the qualifying term "primary" which was utilized in four survey instrument statements. Ultimately, the researcher and the chief settled on a compromise solution, whereby the four questions remained unaltered. However, a comments text box was added, in the event any participants wished to qualify his/her answers.

Sworn Personnel Survey Instrument

A SurveyMonkey® link to the survey instrument was electronically delivered to the organization's entire sworn population (N = 232), with the exception of the chief of police. The link was sent directly from the organization's information technology manager to the organization's sworn personnel distribution list. It is quantitatively unknowable if any survey link recipients may have selected to enter the survey and, upon reading the informed consent page, exited without proceeding further. However, 44 individuals proceeded to the following page, wherein they selected one of two choices: "I
choose to participate” or “I choose not to participate.” Two of these 44 persons selected, “I choose not to participate,” at which time they were automatically sent to a close-out, concluding page. Four of the remaining 42 respondents, all having selected to participate, nonetheless provided only partial or no responses. Three of these four did not provide any answers to survey instrument statements, and the fourth answered seven of the twenty statements, equating to a 35% completion percentage. Therefore, from 42 initial responses, those having selected to participate, 38 were complete and included in this inquiry. The remaining four were not quantitatively viable and therefore were omitted from the study. This resulted in an overall survey response rate of 16.38%.

**Finding Six:** Organizational and survey instrument demographics, compared and contrasted, are relevant to survey and interview findings, as they offer qualifying consideration in analysis and discussion.

**Survey Demographic Data**

A side-by-side comparison of the organization's sworn personnel demographics versus survey respondent demographics, with regard to years of service, rank, ethnicity, age, and gender are displayed in Table 14. Years of service, largely as a function of experience and age, were delineated among five, grouped by 5 year increments up to 25 years of service. Thereafter, those having served for a period of 25 years or more were demographically grouped into a sixth incremental unit. In each of the first three years of service increments, equating to less than 15 years of service, survey respondents were under-represented in comparison to the organization's demographics. Most prominently, there was considerable respondent under-representation for those having served for less than five years. Accordingly, and by contrast, the remaining three incremental units, equating to 15 or more years of service, were over-represented among survey
respondents. The demographics relating to respondents’ Years of Service are illustrated in Figure 12.

**Demographic Percentages by YEARS of SERVICE**

- Organizational Demographics (N) by Years of Service
- Survey Respondent Demographics by Years of Service

![Bar chart showing percentage comparison by years of service.](image)

*Figure 12: Study Site's Organizational Sworn Population versus Actual Survey Respondents: Percentage Comparison by Years of Service.*

By rank, patrol officers account for nearly 60% of the total sworn workforce, yet they represented only 31% of the total respondents. All other ranks were over-represented; particularly lieutenants. Rank demographics are illustrated in Figure 13.

**Demographic Percentages by RANK**

- Organizational Demographics (N) by Rank
- Survey Respondent Demographics by Rank

![Bar chart showing percentage comparison by rank.](image)

*Figure 13: Study Site's Organizational Sworn Population versus Actual Survey Respondents: Percentage Comparison by Rank.*
<table>
<thead>
<tr>
<th>Organizational Demographics</th>
<th>Raw Data</th>
<th>Percent of Total</th>
<th>Survey Respondent Demographics</th>
<th>Raw Data</th>
<th>Percent of Total</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Years of Service:</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>&lt; 5 years</td>
<td>62</td>
<td>26.7%</td>
<td>&lt; 5 years</td>
<td>3</td>
<td>7.9%</td>
</tr>
<tr>
<td>≥ 5 years, &lt; 10 years</td>
<td>29</td>
<td>12.5%</td>
<td>≥ 5 years, &lt;10 years</td>
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<td>7.9%</td>
</tr>
<tr>
<td>≥10 years, &lt;15 years</td>
<td>56</td>
<td>24.1%</td>
<td>≥ 10 years, &lt;15 years</td>
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</tr>
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<td>≥15 years, &lt;20 years</td>
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</tr>
<tr>
<td>≥20 years, &lt;25 years</td>
<td>34</td>
<td>14.7%</td>
<td>≥ 20 years, &lt;25 years</td>
<td>12</td>
<td>31.6%</td>
</tr>
<tr>
<td>≥25 years</td>
<td>28</td>
<td>12.1%</td>
<td>≥ 25 years</td>
<td>5</td>
<td>13.2%</td>
</tr>
<tr>
<td><strong>Rank:</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Police Officer</td>
<td>139</td>
<td>59.9%</td>
<td>Police Officer</td>
<td>12</td>
<td>31.6%</td>
</tr>
<tr>
<td>Detective/Corporal</td>
<td>42</td>
<td>18.1%</td>
<td>Detective/Corporal</td>
<td>11</td>
<td>28.9%</td>
</tr>
<tr>
<td>Sergeant</td>
<td>37</td>
<td>15.9%</td>
<td>Sergeant</td>
<td>10</td>
<td>26.3%</td>
</tr>
<tr>
<td>Lieutenant</td>
<td>10</td>
<td>4.3%</td>
<td>Lieutenant</td>
<td>4</td>
<td>10.5%</td>
</tr>
<tr>
<td>Captain or above, excluding the Chief</td>
<td>4</td>
<td>1.7%</td>
<td>Captain or above, excluding the Chief</td>
<td>1</td>
<td>2.6%</td>
</tr>
<tr>
<td><strong>Ethnicity:</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Caucasian</td>
<td>132</td>
<td>56.9%</td>
<td>Caucasian</td>
<td>22</td>
<td>57.9%</td>
</tr>
<tr>
<td>Hispanic</td>
<td>73</td>
<td>31.5%</td>
<td>Hispanic</td>
<td>9</td>
<td>23.7%</td>
</tr>
<tr>
<td>Native American</td>
<td>3</td>
<td>1.3%</td>
<td>Native American</td>
<td>3</td>
<td>7.9%</td>
</tr>
<tr>
<td>African American</td>
<td>15</td>
<td>6.5%</td>
<td>African American</td>
<td>1</td>
<td>2.6%</td>
</tr>
<tr>
<td>Asian/Pacific Islander</td>
<td>9</td>
<td>3.9%</td>
<td>Asian/Pacific Islander</td>
<td>2</td>
<td>5.3%</td>
</tr>
<tr>
<td>Elected not to disclose</td>
<td>1</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Age:</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>21-28</td>
<td>37</td>
<td>15.9%</td>
<td>21-28</td>
<td>3</td>
<td>7.9%</td>
</tr>
<tr>
<td>29-36</td>
<td>61</td>
<td>26.3%</td>
<td>29-36</td>
<td>6</td>
<td>15.8%</td>
</tr>
<tr>
<td>37-44</td>
<td>56</td>
<td>24.1%</td>
<td>37-44</td>
<td>12</td>
<td>31.6%</td>
</tr>
<tr>
<td>45 and older</td>
<td>78</td>
<td>33.6%</td>
<td>45 and older</td>
<td>17</td>
<td>44.7%</td>
</tr>
<tr>
<td><strong>Gender:</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Male</td>
<td>210</td>
<td>90.5%</td>
<td>Male</td>
<td>35</td>
<td>92.1%</td>
</tr>
<tr>
<td>Female</td>
<td>22</td>
<td>9.5%</td>
<td>Female</td>
<td>3</td>
<td>7.9%</td>
</tr>
</tbody>
</table>

*Table 14: Demographics Comparison: Organization Population versus Survey Respondents.*

(Percentages rounded to nearest tenth).
Native Americans were the most over-represented ethnicity as a percentage of survey respondents, compared to their representation in the workforce. Caucasians, as a percentage of the total sworn workforce compared to total survey respondents, was nearly identical. Hispanic and African American respondents were under-represented. Ethnicity demographics are represented in Figure 14.

**Demographic Percentages by ETHNICITY**

![Bar chart showing demographic percentages by ethnicity](image)

*Figure 14: Study Site's Organizational Sworn Population versus Actual Survey Respondents: Percentage Comparison by Ethnicity.*

The two youngest age categories were disproportionately under-represented in the survey compared to their organizational percentage. This respondent demographic disparity was not surprising, given the commensurate under-representation from those having served for fifteen years or less, and patrol officers relative to other ranks. Age demographics are illustrated in Figure 15.
Demographic percentage comparison data by gender was nearly identical.

Gender demographics are illustrated in Figure 16.

Finding Seven: Survey respondent data.

Tables 15 - 34 provide survey response data for each of 20 survey statements, including percentage and actual number of survey respondents. Additional survey data is displayed in Table 35, illustrated in Figure 17, and is further analyzed in the narrative.
1.) The public has trust that our department’s officers will conduct themselves ethically.

<table>
<thead>
<tr>
<th>Strongly Agree</th>
<th>Somewhat Agree</th>
<th>Somewhat Disagree</th>
<th>Strongly Disagree</th>
<th>Total:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Percentage of Respondents</td>
<td>29.0%</td>
<td>60.5%</td>
<td>10.5%</td>
<td>0.0%</td>
</tr>
<tr>
<td>Actual Number of Respondents</td>
<td>11</td>
<td>23</td>
<td>4</td>
<td>0</td>
</tr>
</tbody>
</table>

Table 15: Survey Statement and Corresponding Tabulation of Respondents' Answers.

2.) Our internal affairs conducts impartial misconduct investigations.

<table>
<thead>
<tr>
<th>Strongly Agree</th>
<th>Somewhat Agree</th>
<th>Somewhat Disagree</th>
<th>Strongly Disagree</th>
<th>Total:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Percentage of Respondents</td>
<td>57.9%</td>
<td>34.2%</td>
<td>2.6%</td>
<td>5.3%</td>
</tr>
<tr>
<td>Actual Number of Respondents</td>
<td>22</td>
<td>13</td>
<td>1</td>
<td>2</td>
</tr>
</tbody>
</table>

Table 16: Survey Statement and Corresponding Tabulation of Respondents' Answers.

3.) Much of what I do in the community has a positive impact on public trust.

<table>
<thead>
<tr>
<th>Strongly Agree</th>
<th>Somewhat Agree</th>
<th>Somewhat Disagree</th>
<th>Strongly Disagree</th>
<th>Total:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Percentage of Respondents</td>
<td>65.8%</td>
<td>31.6%</td>
<td>2.6%</td>
<td>0.0%</td>
</tr>
<tr>
<td>Actual Number of Respondents</td>
<td>25</td>
<td>12</td>
<td>1</td>
<td>0</td>
</tr>
</tbody>
</table>

Table 17: Survey Statement and Corresponding Tabulation of Respondents' Answers.

4.) I believe that performing ethically is the most important part of my job.

<table>
<thead>
<tr>
<th>Strongly Agree</th>
<th>Somewhat Agree</th>
<th>Somewhat Disagree</th>
<th>Strongly Disagree</th>
<th>Total:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Percentage of Respondents</td>
<td>86.8%</td>
<td>13.2%</td>
<td>0.00%</td>
<td>0.00%</td>
</tr>
<tr>
<td>Actual Number of Respondents</td>
<td>33</td>
<td>5</td>
<td>0</td>
<td>0</td>
</tr>
</tbody>
</table>

Table 18: Survey Statement and Corresponding Tabulation of Respondents' Answers.

5.) The culture in our organization has a negative influence on ethical performance.

<table>
<thead>
<tr>
<th>Strongly Agree</th>
<th>Somewhat Agree</th>
<th>Somewhat Disagree</th>
<th>Strongly Disagree</th>
<th>Total:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Percentage of Respondents</td>
<td>7.9%</td>
<td>13.2%</td>
<td>21.0%</td>
<td>57.9%</td>
</tr>
<tr>
<td>Actual Number of Respondents</td>
<td>3</td>
<td>5</td>
<td>8</td>
<td>22</td>
</tr>
</tbody>
</table>

Table 19: Survey Statement and Corresponding Tabulation of Respondents' Answers.
6.) Training and development programs in my organization help me to do a better job.

<table>
<thead>
<tr>
<th>Strongly Agree</th>
<th>Somewhat Agree</th>
<th>Somewhat Disagree</th>
<th>Strongly Disagree</th>
<th>Total:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Percentage of Respondents</td>
<td>34.2%</td>
<td>34.2%</td>
<td>21.1%</td>
<td>10.5%</td>
</tr>
<tr>
<td>Actual Number of Respondents</td>
<td>13</td>
<td>13</td>
<td>8</td>
<td>4</td>
</tr>
</tbody>
</table>

*Table 20: Survey Statement and Corresponding Tabulation of Respondents' Answers.*

7.) The primary expectation of my chief is that I perform my duties with ethical excellence.

<table>
<thead>
<tr>
<th>Strongly Agree</th>
<th>Somewhat Agree</th>
<th>Somewhat Disagree</th>
<th>Strongly Disagree</th>
<th>Total:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Percentage of Respondents</td>
<td>60.5%</td>
<td>31.6%</td>
<td>5.3%</td>
<td>2.6%</td>
</tr>
<tr>
<td>Actual Number of Respondents</td>
<td>23</td>
<td>12</td>
<td>2</td>
<td>1</td>
</tr>
</tbody>
</table>

*Table 21: Survey Statement and Corresponding Tabulation of Respondents' Answers.*

8.) Ethical performance is a primary focus for me in my day-to-day policing activities.

<table>
<thead>
<tr>
<th>Strongly Agree</th>
<th>Somewhat Agree</th>
<th>Somewhat Disagree</th>
<th>Strongly Disagree</th>
<th>Total:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Percentage of Respondents</td>
<td>79.0%</td>
<td>21.0%</td>
<td>0.00%</td>
<td>0.00%</td>
</tr>
<tr>
<td>Actual Number of Respondents</td>
<td>30</td>
<td>8</td>
<td>0</td>
<td>0</td>
</tr>
</tbody>
</table>

*Table 22: Survey Statement and Corresponding Tabulation of Respondents' Answers.*

9.) My police chief insists that the entire organization work to support the ethical performance of police officers in the field.

<table>
<thead>
<tr>
<th>Strongly Agree</th>
<th>Somewhat Agree</th>
<th>Somewhat Disagree</th>
<th>Strongly Disagree</th>
<th>Total:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Percentage of Respondents</td>
<td>57.9%</td>
<td>26.3%</td>
<td>7.9%</td>
<td>7.9%</td>
</tr>
<tr>
<td>Actual Number of Respondents</td>
<td>22</td>
<td>10</td>
<td>3</td>
<td>3</td>
</tr>
</tbody>
</table>

*Table 23: Survey Statement and Corresponding Tabulation of Respondents' Answers.*

10.) Change is constant. I view change as an opportunity for growth...to learn new things.

<table>
<thead>
<tr>
<th>Strongly Agree</th>
<th>Somewhat Agree</th>
<th>Somewhat Disagree</th>
<th>Strongly Disagree</th>
<th>Total:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Percentage of Respondents</td>
<td>55.3%</td>
<td>42.1%</td>
<td>2.6%</td>
<td>0.00%</td>
</tr>
<tr>
<td>Actual Number of Respondents</td>
<td>21</td>
<td>16</td>
<td>1</td>
<td>0</td>
</tr>
</tbody>
</table>

*Table 24: Survey Statement and Corresponding Tabulation of Respondents' Answers.*
11.) I believe our entire organization's primary mission should be to support ethical performance.

<table>
<thead>
<tr>
<th>Strongly Agree</th>
<th>Somewhat Agree</th>
<th>Somewhat Disagree</th>
<th>Strongly Disagree</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>Percentage of Respondents</td>
<td>44.7%</td>
<td>44.7%</td>
<td>10.5%</td>
<td>0.00%</td>
</tr>
<tr>
<td>Actual Number of Respondents</td>
<td>17</td>
<td>17</td>
<td>4</td>
<td>0</td>
</tr>
</tbody>
</table>

Table 25: Survey Statement and Corresponding Tabulation of Respondents' Answers.

12.) The intent to implement a new policy in my organization is well communicated.

<table>
<thead>
<tr>
<th>Strongly Agree</th>
<th>Somewhat Agree</th>
<th>Somewhat Disagree</th>
<th>Strongly Disagree</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>Percentage of Respondents</td>
<td>15.8%</td>
<td>28.9%</td>
<td>39.5%</td>
<td>15.8%</td>
</tr>
<tr>
<td>Actual Number of Respondents</td>
<td>6</td>
<td>11</td>
<td>15</td>
<td>6</td>
</tr>
</tbody>
</table>

Table 26: Survey Statement and Corresponding Tabulation of Respondents' Answers.

13.) I have a similar desire to help people now, as I did when I first became a police officer.

<table>
<thead>
<tr>
<th>Strongly Agree</th>
<th>Somewhat Agree</th>
<th>Somewhat Disagree</th>
<th>Strongly Disagree</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>Percentage of Respondents</td>
<td>47.4%</td>
<td>26.3%</td>
<td>23.7%</td>
<td>2.6%</td>
</tr>
<tr>
<td>Actual Number of Respondents</td>
<td>18</td>
<td>10</td>
<td>9</td>
<td>1</td>
</tr>
</tbody>
</table>

Table 27: Survey Statement and Corresponding Tabulation of Respondents' Answers.

14.) For me, if some proposed new way of doing something is not too disruptive, I usually do not mind the change.

<table>
<thead>
<tr>
<th>Strongly Agree</th>
<th>Somewhat Agree</th>
<th>Somewhat Disagree</th>
<th>Strongly Disagree</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>Percentage of Respondents</td>
<td>50.0%</td>
<td>44.7%</td>
<td>5.3%</td>
<td>0.00%</td>
</tr>
<tr>
<td>Actual Number of Respondents</td>
<td>19</td>
<td>17</td>
<td>2</td>
<td>0</td>
</tr>
</tbody>
</table>

Table 28: Survey Statement and Corresponding Tabulation of Respondents' Answers.

15.) The public does not trust our officers to perform ethically.

<table>
<thead>
<tr>
<th>Strongly Agree</th>
<th>Somewhat Agree</th>
<th>Somewhat Disagree</th>
<th>Strongly Disagree</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>Percentage of Respondents</td>
<td>0.0%</td>
<td>23.7%</td>
<td>52.6%</td>
<td>23.7%</td>
</tr>
<tr>
<td>Actual Number of Respondents</td>
<td>0</td>
<td>9</td>
<td>20</td>
<td>9</td>
</tr>
</tbody>
</table>

Table 29: Survey Statement and Corresponding Tabulation of Respondents' Answers.
16.) There is a process or program in our organization to provide officers with training and development, specific to ethics.

<table>
<thead>
<tr>
<th></th>
<th>Strongly Agree</th>
<th>Somewhat Agree</th>
<th>Somewhat Disagree</th>
<th>Strongly Disagree</th>
<th>Total:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Percentage of Respondents</td>
<td>21.0%</td>
<td>47.4%</td>
<td>23.7%</td>
<td>7.9%</td>
<td>100%</td>
</tr>
<tr>
<td>Actual Number of Respondents</td>
<td>8</td>
<td>18</td>
<td>9</td>
<td>3</td>
<td>38</td>
</tr>
</tbody>
</table>

*Table 30: Survey Statement and Corresponding Tabulation of Respondents' Answers.*

17.) There is not much I can do in my community to increase public trust in the police.

<table>
<thead>
<tr>
<th></th>
<th>Strongly Agree</th>
<th>Somewhat Agree</th>
<th>Somewhat Disagree</th>
<th>Strongly Disagree</th>
<th>Total:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Percentage of Respondents</td>
<td>2.6%</td>
<td>18.4%</td>
<td>29.0%</td>
<td>50.0%</td>
<td>100%</td>
</tr>
<tr>
<td>Actual Number of Respondents</td>
<td>1</td>
<td>7</td>
<td>11</td>
<td>19</td>
<td>38</td>
</tr>
</tbody>
</table>

*Table 31: Survey Statement and Corresponding Tabulation of Respondents' Answers.*

18.) Our chief cares about the police officers in our organization.

<table>
<thead>
<tr>
<th></th>
<th>Strongly Agree</th>
<th>Somewhat Agree</th>
<th>Somewhat Disagree</th>
<th>Strongly Disagree</th>
<th>Total:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Percentage of Respondents</td>
<td>26.3%</td>
<td>42.1%</td>
<td>18.4%</td>
<td>13.2%</td>
<td>100%</td>
</tr>
<tr>
<td>Actual Number of Respondents</td>
<td>10</td>
<td>16</td>
<td>7</td>
<td>5</td>
<td>38</td>
</tr>
</tbody>
</table>

*Table 32: Survey Statement and Corresponding Tabulation of Respondents' Answers.*

19.) The intent to implement a new policy in my organization follows a predictable process.

<table>
<thead>
<tr>
<th></th>
<th>Strongly Agree</th>
<th>Somewhat Agree</th>
<th>Somewhat Disagree</th>
<th>Strongly Disagree</th>
<th>Total:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Percentage of Respondents</td>
<td>21.0%</td>
<td>57.9%</td>
<td>15.8%</td>
<td>5.3%</td>
<td>100%</td>
</tr>
<tr>
<td>Actual Number of Respondents</td>
<td>8</td>
<td>22</td>
<td>6</td>
<td>2</td>
<td>38</td>
</tr>
</tbody>
</table>

*Table 33: Survey Statement and Corresponding Tabulation of Respondents' Answers.*

20.) My chief believes our entire organization's primary mission should be to support ethical performance.

<table>
<thead>
<tr>
<th></th>
<th>Strongly Agree</th>
<th>Somewhat Agree</th>
<th>Somewhat Disagree</th>
<th>Strongly Disagree</th>
<th>Total:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Percentage of Respondents</td>
<td>18.4%</td>
<td>68.4%</td>
<td>7.9%</td>
<td>5.3%</td>
<td>100%</td>
</tr>
<tr>
<td>Actual Number of Respondents</td>
<td>7</td>
<td>26</td>
<td>3</td>
<td>2</td>
<td>38</td>
</tr>
</tbody>
</table>

*Table 34: Survey Statement and Corresponding Tabulation of Respondents' Answers.*

135
Table 35 contains aggregated descriptive statistical data for survey statement answers. Descriptive statistics were calculated by pairing Likert scale survey statement phrasing with numerical values as follows:

Strongly Agree = 1 ; Somewhat Agree = 2 ; Somewhat Disagree = 3 ; Strongly Disagree = 4.

Integration of Data

Chief of Police Interview One and Survey Instrument

This integration of data section focuses on findings that were either particularly convergent or dissimilar, as compared to answers provided by the chief and sworn personnel.

Finding Eight: The chief and survey respondents differ on the relative level of trust the community has in their police.

The chief stated a belief that those who willingly engage with the organization would say that the organization attempts to engage with the community. However, the chief also acknowledged the problem of garnering public trust, particularly when the organization is viewed as incapable of keeping offenders from returning to their neighborhoods for any period of time. By contrast, 90% of survey respondents believe the community trusts the police.

Finding Nine: The chief’s expectation that internal affairs investigators treat organizational personnel under investigation with respect, was validated by survey respondents.

The chief stated that regardless of the relative severity of a given allegation, there is an expectation that internal affairs investigators treat personnel respectfully. Survey respondent data revealed 92% answered favorably (58% strongly agree; 34% somewhat agree) to Survey Statement #2 "Our internal affairs conducts impartial investigations."
<table>
<thead>
<tr>
<th>No.</th>
<th>Survey Statement</th>
<th>N</th>
<th>Min</th>
<th>Max</th>
<th>Mean</th>
<th>SD</th>
<th>Var</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>The public has trust that our department's officers will conduct themselves ethically.</td>
<td>38</td>
<td>1</td>
<td>3</td>
<td>1.82</td>
<td>.61</td>
<td>.37</td>
</tr>
<tr>
<td>2.</td>
<td>Our internal affairs conducts impartial misconduct investigations.</td>
<td>38</td>
<td>1</td>
<td>4</td>
<td>1.55</td>
<td>.80</td>
<td>.63</td>
</tr>
<tr>
<td>3.</td>
<td>Much of what I do in the community has a positive impact on public trust.</td>
<td>38</td>
<td>1</td>
<td>3</td>
<td>1.37</td>
<td>.54</td>
<td>.29</td>
</tr>
<tr>
<td>4.</td>
<td>I believe that performing ethically is the most important part of my job.</td>
<td>38</td>
<td>1</td>
<td>2</td>
<td>1.13</td>
<td>.34</td>
<td>.12</td>
</tr>
<tr>
<td>5.</td>
<td>The culture in our organization has a negative influence on ethical performance.</td>
<td>38</td>
<td>1</td>
<td>4</td>
<td>3.29</td>
<td>.98</td>
<td>.97</td>
</tr>
<tr>
<td>6.</td>
<td>Training and development programs in my organization help me to do a better job.</td>
<td>38</td>
<td>1</td>
<td>4</td>
<td>2.08</td>
<td>1.00</td>
<td>.99</td>
</tr>
<tr>
<td>7.</td>
<td>The primary expectation of my chief is that I perform my duties with ethical excellence.</td>
<td>38</td>
<td>1</td>
<td>4</td>
<td>1.50</td>
<td>.73</td>
<td>.53</td>
</tr>
<tr>
<td>8.</td>
<td>Ethical performance is a primary focus for me in my day-to-day policing activities.</td>
<td>38</td>
<td>1</td>
<td>2</td>
<td>1.21</td>
<td>.41</td>
<td>.17</td>
</tr>
<tr>
<td>9.</td>
<td>My police chief insists that the entire organization work to support the ethical performance of police officers in the field.</td>
<td>38</td>
<td>1</td>
<td>4</td>
<td>1.66</td>
<td>.94</td>
<td>.88</td>
</tr>
<tr>
<td>10.</td>
<td>Change is constant. I view change as an opportunity for growth...to learn new things.</td>
<td>38</td>
<td>1</td>
<td>3</td>
<td>1.47</td>
<td>.56</td>
<td>.31</td>
</tr>
<tr>
<td>11.</td>
<td>I believe our entire organization's primary mission should be to support ethical performance.</td>
<td>38</td>
<td>1</td>
<td>3</td>
<td>1.66</td>
<td>.67</td>
<td>.45</td>
</tr>
<tr>
<td>12.</td>
<td>The intent to implement a new policy in my organization is well communicated.</td>
<td>38</td>
<td>1</td>
<td>4</td>
<td>2.55</td>
<td>.95</td>
<td>.90</td>
</tr>
<tr>
<td>13.</td>
<td>I have a similar desire to help people now as I did when I first became a police officer.</td>
<td>38</td>
<td>1</td>
<td>4</td>
<td>1.82</td>
<td>.90</td>
<td>.80</td>
</tr>
<tr>
<td>14.</td>
<td>For me, if some proposed new way of doing something is not too disruptive, I usually do not mind the change.</td>
<td>38</td>
<td>1</td>
<td>3</td>
<td>1.55</td>
<td>.60</td>
<td>.36</td>
</tr>
<tr>
<td>15.</td>
<td>The public does not trust our officers to perform ethically.</td>
<td>38</td>
<td>2</td>
<td>4</td>
<td>3.00</td>
<td>.70</td>
<td>.49</td>
</tr>
<tr>
<td>16.</td>
<td>There is a process or program in our organization to provide officers with training and development, specific to ethics.</td>
<td>38</td>
<td>1</td>
<td>4</td>
<td>2.18</td>
<td>.87</td>
<td>.75</td>
</tr>
<tr>
<td>17.</td>
<td>There is not much I can do in my community to increase public trust in the police.</td>
<td>38</td>
<td>1</td>
<td>4</td>
<td>3.26</td>
<td>.86</td>
<td>.74</td>
</tr>
<tr>
<td>18.</td>
<td>Our chief cares about the police officers in our organization.</td>
<td>38</td>
<td>1</td>
<td>4</td>
<td>2.18</td>
<td>.98</td>
<td>.97</td>
</tr>
<tr>
<td>19.</td>
<td>The intent to implement a new policy in my organization follows a predictable process.</td>
<td>38</td>
<td>1</td>
<td>4</td>
<td>2.05</td>
<td>.77</td>
<td>.59</td>
</tr>
<tr>
<td>20.</td>
<td>My chief believes our entire organization's primary mission should be to support ethical performance.</td>
<td>38</td>
<td>1</td>
<td>4</td>
<td>2.00</td>
<td>.70</td>
<td>.49</td>
</tr>
</tbody>
</table>

*Table 35: Aggregated Descriptive Statistics of Survey Statement Answers.*
**Finding Ten:** There is a strongly held belief in the organization that officers' performance in the community positively impacts public trust.

Answering the Survey Statement, "Much of what I do in the community has a positive impact on public trust," 65.8% of respondents strongly agreed, and 31.6% somewhat agreed. Less than 3% somewhat disagreed and no respondents strongly disagreed. The chief also stated a belief that officers' daily activities do indeed impact public trust, whether positively or negatively, stating, "Even the smallest, most benign contacts with people can have deep meaning and impact in their lives." The chief also recognized that the organization, like others, has a few officers who do not accurately reflect the organization's intent nor the vast majority of officers' performance.

**Finding Eleven:** The organization has a culture of ethically performing personnel - From a selferspective frame of reference.

The interview with the chief revealed a finding that ethical performance and organizational culture are positively impacted when: 1) policing best practice is pursued and implemented, and 2) the rationale for doing so is understood, embraced and diffused throughout the organization. Correspondingly, all survey respondents answered either strongly agree or somewhat agree to Survey Statement Four ("I believe that performing ethically is the most important part of my job,") with 86.8% answering strongly agree. In addition, the majority of the respondent pool answered favorably to complementary Survey Statement Eight, "Ethical performance is a primary focus for me in my day-to-day policing activities," with 79% answering strongly agree.
**Finding Twelve:** Some sworn personnel perceive their organizational culture as negatively influencing ethical performance - From a social-perspective frame of reference.

Although the chief recognized that the organization has officers that are not good ambassadors for the organization, the chief also acknowledged being detached from informal channels of communications in the organization. Perhaps then, it is difficult for the chief to know the actual number of officers negatively influencing culture and how extensive or pervasive the influence. A total of 21.1% either strongly agreed or somewhat agreed to survey statement five, "The culture in our organization has a negative influence on ethical performance." By contrast, survey statements three and four, wherein self is the referent, a total of 97.4% and 100% respectively, were answered with either somewhat agree or strongly agree. Statements three and four respectively, were: "Much of what I do in the community has a positive impact on public trust," and, "I believe that performing ethically is the most important part of my job." The findings reveal some dissonance among these responses. Yet, it should likewise be noted that 78.9 % of respondents either somewhat disagreed or strongly disagreed, with statement five.

**Finding Thirteen:** Although the organization has a best practice policy manual and tests organizational members’ knowledge and application monthly, communicating an intent to implement a new policy, and to do so in a predictable manner, needs improvement.

In the chief's interview, there was a clear articulation of the relative robustness of the organization's policy manual, routine acquisition of applicable case law and legislative changes with accompanying policy revisions, and the regular testing of officers' knowledge and application of policies. Yet, 55.3% of survey respondents disagreed that an intent to implement a new policy in the organization is well-
communicated. Also, 21.1% of survey respondents disagreed that an intent to implement a new policy in the organization follows a predictable process. While neither statement received excellent ratings, communicating an intent to implement a new policy, with a mean of 2.55, fared worse than the statement regarding policy implementation following a predictable process, with a 2.05 mean response.

**Finding Fourteen:** The relative value assigned to organizational training generally, and training on ethics specifically, emerged as incongruent between the chief and survey respondents.

The chief described the training component in the organization as robust, remarking that in the past year, scheduling of officers was redesigned to provide bi-weekly training days. With respect to ethics training, the chief alluded to the organization's use of DTBs and the monthly testing and passing requirement attached to the bulletins. The chief stated that officers are typically required to pass scenario-based testing on 20 to 25 DTBs monthly.

The chief acknowledged that while the DTBs may not include ethical reasoning specifically, there is nonetheless a benefit derived from constantly reminding sworn personnel of rules and standards and on testing them against those standards. While 68% of survey respondents favorably agreed to the statement "Training and development programs in my organization help me to a better job," 21% somewhat disagreed and 11% strongly disagreed with the statement. Similarly, 68% of survey respondents answered favorably to the survey statement "There is a process or program in our organization to provide officers with training and development, specific to ethics," while 24% somewhat disagreed and 8% strongly disagreed with the statement. It is quantitatively unknowable
what percentage of favorable responses to these statements would equate to "robust," however, two identical 68% favorable ratings is not likely the threshold.

**Finding Fifteen:** The organizational culture is amenable to change.

As a consequence of the dramatic economic decline in the community and city government, the chief identified the need for the organization willingness to change. This willingness to change was additionally motivated in an interest on the part of the force to mitigate the long-standing culture of unapologetically speaking negatively about the city. The chief also spoke about the need to change and evolve as a function of best practice policing. The readiness to change appeared most evident when there was no dissention expressed to the chief's decision to implement a body-worn camera program, notwithstanding the chief having credited a lack of resistance to the external policing environment.

There were two change-oriented statements posed in the survey: "Change is constant. I view change as an opportunity for growth...to learn new things," and, "For me, if some proposed new way of doing something is not too disruptive, I usually do not mind the change." Agreeable responses to these two questions were 97.4% and 94.7%, respectively. *Strongly agree* was selected by the greatest number of respondents in both change related statements but only slightly. The average of the means was 1.51.

**Finding Sixteen:** Despite a very intentional effort from the chief to invest in, and develop officers throughout their careers, as outlined in Finding Two, survey instrument data demonstrated that sworn personnel have wide-ranging perceptions with regard to the chief's caring of officers.

The chief alluded to a practice of personally role-modeling ethical performance and an expectation that all sworn personnel model ethical behavior to enhance the
potential for junior officers to be successful in a difficult policing environment. Similarly, the chief also described, with considerable passion, organizational efforts invested in officers to develop their performance. The chief spoke of having worked diligently to evolve the organization's culture, including identifying and implementing industry best practices to enable and sustain a competently growing organization. Nonetheless, survey respondent data suggests that these actions may not translate into a perception that the chief cares about officers.

Survey respondent data relative to statement 18 "Our chief cares about the police officers in our organization," is illustrated in Figure 17. Sixty-eight percent of survey respondents answered favorably to this statement while thirty-two percent answered unfavorably. A comments text box was optional with this survey statement, and included the following comments: 1) Many who do not know [the chief] don't think so because that aspect is not communicated to the masses and; 2) [The chief] cares, but [the chief] could communicate it more effectively.
Integration Informs Interview Two

Data analysis of Interview One and the survey instrument revealed key findings for initial inclusion in this chapter. Each analysis further revealed data in need of clarification during Interview Two. The process of iterative integration produced an enhanced understanding of the data. The process of independent and integrative analysis also served to further inform Interview Two, as outlined in the following section.

Qualitative

Findings from Chief of Police Interview Two

Interview Two findings are presented in the following order: Follow-up, specific to Interview One findings; Follow-up, specific to Survey Instrument findings; Follow-up, specific to integrated findings from Interview One and Survey Instrument and; Interview Two pre-planned questions, as identified in Appendix E.

Follow-up to Findings: Interview One

There was a follow-up discussion with the chief regarding the police legitimacy and procedural justice training the organization undertook, as it had particular and timely relevance to this study. The chief stated that the training was mostly well received, adding that it was somewhat dependent upon the personalities in a given class. When asked if the chief had any perception whether the training had been beneficial to the organization, the chief commented that it had been, but only spoke of its benefit in terms of a general acceptance of change.
Follow-up to Findings: Survey Instrument

The chief was asked to provide any insight regarding the under-representation of patrol officers, personnel under 37 years of age, and those with less than 15 years of service, particularly since the survey was entirely online and immediately accessible through an attached link sent via e-mail. Potential participants were also informed that the average survey instrument completion time was 5-10 minutes. The chief surmised that most of the respondents were probably those with routine desk jobs, often disproportionately older than those in the field. In addition, the chief relayed that it is common for patrol officers to have limited time in the office - where office e-mail is accessed - to review their inbox. Consequently, patrol officers tend to move rather quickly, sorting through e-mail to identify the most pressing issues in need of attention.

The majority of survey respondents' aggregated findings were relatively consistent with Interview One findings. These were shared with the chief, who was pleased to learn of the high value placed on ethical performance and the positive impact on public trust, as related to personnel performance. For example, survey statements "I believe that performing ethically is the most important part of my job," and "Ethical performance is a primary focus for me in my day-to-day policing activities," had maximum values of 2 and a mean of 1.13 and 1.21, respectively. The statement "Much of what I do in the community has a positive impact on public trust" had a maximum value of 3 and a mean of 1.37.

Follow-up to Findings: Integrated QUAL + quan

As described in Finding Fourteen, there appears a difference in the perception of training sufficiency and access to ethics training between the chief and survey
respondents; therefore, the chief was asked to comment on the seeming perception disparity. The chief conveyed essentially the same information, as previously provided in Interview One stating:

This year alone, because some changes that we made to the way that we do our scheduling, in the way that we changed our training...it used to be an average of 20 hours per year...Year to date so far, every single officer has had...more than double the normal amount of training that we pushed out. It doesn't mean that they like all the training.

Specific to the potential discrepancy related to the availability of ethics training, the chief believes that the respondents apparently did not equate the process of monthly training and testing on daily training bulletins, as specific to ethics, although the chief stated that it clearly does relate to ethics training, whether directly or indirectly.

Finding Twelve, relating to policing culture in the organization, was discussed with the chief. Survey findings related to culture were presented to the chief, together with the quote from Interview One in which the chief remarked, with emphasis, "I think culture is quite possibly the single biggest driver of ethical performance." The chief surmised that when participating in the survey and coming upon the statement, "The culture in our organization has a negative influence on ethical performance," it could easily cause a respondent to reflect upon a negative experience related to the organization's culture, and therefore influence a given survey response. The chief acknowledged that there is cumulative deleterious effect for some in policing. The chief stated:

There's just something about this job and the things we ask people to do. The day-in, day-out grind of the job...25, 30 years is a long time to do it. My guess is, too, and this is where you can't dive into it on a question like this or in a survey, is ask the question ‘why.’ It's easy to mark down, do you agree or disagree, but when you get down to the ‘why,’ I think very few could articulate, with any actual facts
or data, to backup why they believe that to be true, other than they feel it's an over-arching thing that exists.

I strongly felt, even as I was coming up through the ranks in the organization, that we had people in the organization that were drivers of our culture that were not consistent with the industry values that we expect in law enforcement...the further you go up through the ranks... you're much more sensitive to those things. As a chief, I really push the fact that we need to evolve as an organization...in accordance with industry best practices...in tune to this national conversation on policing...You're trying to bring people along in that conversation to bring the organization up, collectively.

The chief was reminded too, of the comment made during Interview One, regarding the notion that every organization has its negative influencers and the chief was asked for clarification on this initial response. The chief believes that a few individuals with negative attitudes can unduly influence one's perception of the relative health of organizational culture. The chief elaborated:

The bottom line is, people that do their job on the edge, on the fringes...quite often those people have some pretty strong personalities. And then, you end up with that dynamic...Those particular people are kind of bullies in an organization and it's easier for people to just not want to take them on. But it still shapes your perception of what this place is that you work for, and it's challenging.

As outlined in Finding Thirteen, the chief articulated the robustness of the organization's policy manual, yet 55.3% of survey respondents disagreed that an intent to implement a new policy in the organization is well communicated. Upon sharing the aggregated findings from this survey statement, the chief remarked, "Communication is actually one of the things that we frequently hear complaints about."

Change, prominently emerged in the findings of both Interview One and the survey instrument, as outlined in Finding Fifteen. As a consequence of survey data, which revealed a relative readiness and willingness to accept change, follow-up discussion was conducted with the chief during Interview Two. The discussion was
prefaced by informing the chief of the survey findings from the two survey statements regarding acceptance of change. In response, the chief reiterated that change, and the need to change and evolve, is frequently discussed in the organization.

The chief stated that the organization benefited, with respect to acquiring an appreciation and understanding of the need to change and adapt, primarily as a consequence of having navigated through a substantial economic decline in the city. Moreover, the chief described a workforce transformational change strategy (that remains ongoing) in which the chief, through workforce restructuring, is redefining and enhancing the capacity of the organization's civilian workforce to increase efficiencies in policing services at lower cost. The chief passionately stated:

I don't know that anybody...having to figure out how to do policing in one of the most dangerous cities, statistically in the country, under one of the most challenging [emphasis added] socioeconomic conditions in this country, and then to do it with a...police force that, based on a model of policing that has a sworn ratio, one-third of an east-coast model of policing...I would put our department up against anybody [emphasis added] in efficiency; anybody [emphasis added]!

The change strategy finding from Interview Two is further discussed in Findings Twenty-One and Twenty-Two.

Interview Two Questions

The remaining findings were primarily derived from answers provided by the chief from semi-structured Interview Two pre-determined and approved questions, and included probing follow-up questions.

Finding Seventeen: Developing and sustaining ethics is accomplished through role modeling ethical performance which intentionally excludes double standards accountability, whether actual or perceived.
The chief was asked to comment on the research question of this inquiry: "How does a policing executive develop and sustain an organization's ethical policing performance, vis-à-vis the policing power - public trust relationship?" The chief reiterated that role-modeling is central to developing and sustaining ethics. However, for role-modeling to be powerful, the chief also emphasized the critically-important responsibility superiors assume in their respective supervisory and peer roles in modeling the expected behavior without double standards. When speaking about double standards, the chief indicated that it does not matter whether the behavior is in actuality or whether it merely has the potential to be perceived as double standard. The chief said:

Well, speaking in general terms, how do you develop and sustain, and I think I said this before in our first interview...everything that you want in your organization, I think needs to be modeled. So, I think that the people in the organization, if they know that it's important that people are acting ethically, people are doing their job the way it's supposed to be done, that you have that behavior modeled, from the top of the organization down, without some appearance of a double standard...in general, through modeling behavior.

**Finding Eighteen:** Transparency and an unequivocal unqualified willingness to communicate with the community are effective drivers to garner public trust.

The chief then commented on the matter of public trust, stating:

As far as balancing that out with that public trust relationship, I'm a strong believer that the strongest or the best thing that you can do, from a public trust standpoint, you've got to be transparent, and you've got to communicate. Even when you don't want to communicate, even when you are frustrated with the actions of folks or the position of some people in the community, that may be trying to drive a narrative or something of that nature, you can never stop communicating. You can never stop coming to the table and talking about these issues and trying to work your way through it, and at least making sure that people see a balanced side to these conflicting relationships that we often have. One of my talking points that probably all of my people can memorize...is If you want us there, we're going to be there. If you want to talk, we're going to be here to talk. If you want to engage in dialogue, we're going to be here to engage in dialogue. And we won't shy away...If there's an organization, if there's a group in
the city that wants us to come talk, that wants us to engage, we're going to engage. And our folks know that, to the extent that there really is no debate.

This is a critically important finding in this study. The chief specifically addressed the matter of how a police chief mitigates the inherent imbalance of power possessed by police, vis-à-vis the social contract, by ensuring the organization is transparent through direct and open communication with the community. In turn, the chief has influenced the culture to become a willingly engaged and transparently communicative organization.

**Finding Nineteen:** Accountability and transparency are enablers, leveraged by the chief to bolster ethical performance and engender public trust.

The chief was asked about enablers used to leverage or promote ethical performance and enhance public trust. In response, the chief offered some examples of how this has been accomplished in the organization. Although city-specific details cannot be revealed to ensure confidentiality, quoted excerpts nonetheless exemplify the central themes of accountability and transparency proffered by the chief. The chief is keen to appreciate the internal, intra-relationship of accountability and ethical performance, and the external, intra-relationship of transparency and public trust. The chief stated:

I think you can break it down into things that have happened in the organization, where time after time...the men and women of the organization have seen that we, as a department, have done the right thing... have not shown favoritism... have not turned a blind eye towards misconduct...we have generally proven ourselves to be accountable. And that goes for not only inside the organization but...outside looking in as well.

Any time we've had bad things happen, we've been very transparent. We had a case several years ago of an officer who was engage in some illegal conduct...using the power of his badge and the color of authority...[redacted for confidentiality purposes]...it wasn't that it was discovered and uncovered by somebody out in the public.. we got wind of [it]. We immediately launched an investigation. did all the things necessary to prove or disprove the allegations and prosecuted. And the public first heard about it from us. And the organization, people from inside the organization but outside of that investigation…heard it from us first.
**Finding Twenty:** Obstacles to optimizing ethical performance and engendering public trust may arise from internal and external sources, but strategies may be available to effectively counter them, including minimizing their relevance.

The chief commented that the organization has its internal detractors with varied explanations of how they were unfairly treated by the organization, and how that served to justify a particular wanting attitude toward the organization. The chief stated that the message to the organization's management team has been the following:

The only way you truly overcome those types of people in your organization, you have to basically, just minimize them...As an organization, we've got to continue to move forward and not allow ourselves to get derailed by the handful of folks within the organization that want to complain about things.

The chief also intimated the concern and frustrations experienced, and shared by policing executives across the country, regarding the overturning of terminations for egregious misconduct, by governing boards and courts. The chief said:

It is extraordinarily difficult to hold cops accountable for misconduct. Even if you try to deal with it internally, and you do what you can to get them out of your workforce, and protect your community from guys that have no business wearing the badge, it's not uncommon for arbitration boards or courts to overrule you and give them their jobs back. And so, we all have examples of that happening.

In addition to negatively affecting workforce morale, the chief has an ongoing concern about how this problem adversely affects public trust, not only in the locale in which a termination was overturned, but the ripple effect it poses for other jurisdictions. The chief added the following:

I get notifications...all around the country...It's not uncommon to...see this particular case that took place...underscores how difficult it is to get rid of bad cops...this guy that's had multiple disciplinary issues in their career, maybe a bad shooting or two, use of force issues, complaints about their conduct...and lots of people that are willing to come forward and say how bad that person is, and yet the court overturned the termination. It even perpetuates the narrative, at least that some people attach themselves to you, that says that we can't police our own; we
can't hold ourselves accountable...So, those [public accounts of terminated officers whose firings were overturned] become detractors.

Importantly however, the chief qualified this problem by stating that the vast majority of cases in which terminations were overturned, an organization had failed to comply with one or more administrative procedural requirements. Consequently, the chief has had success in mitigating the problem by ensuring the organization's human resource management protocols and their implementation will withstand legal scrutiny.

Similar to the reality of small numbers of negative influencers within the organization's culture, the chief commented that there are also detractors in the community with varied justifications that serve as barriers to building trust. In the chief's words:

Whether they do it because of a one-time experience that they had in their life, as an outsider looking into the organization. It may have been with our organization itself. It may have been with another police department and they, therefore, will paint law enforcement across the board with this broad-based lens that says law enforcement...are not ethical and they don't do things the right way, and then those people that want to voice their opinions very loudly to the public, I think they become obstacles to building those relationships... because they have a voice.

When probing on how the organization strategizes to address or overcome these external obstacles, the chief stated:

You've got to be the master of your own message. In today's day and age, with the power of communication and the way that people communicate, I think you're foolish if you're not using all the technology available to you to reach segments of your population that may or may not be coming to the table with you...whether it's individual gadflies in the city, or the media or whatever it might be, you've got to be proactive of managing your message and managing your image.
Finding Twenty-One: Significant investment in, and robust use of, social media can positively influence the police-community trust relationship by promoting accurate, transparent, and trust-generating messaging.

In Chapter One, as part of the problem statement, the issue of perpetual cable news stories coupled with a saturated social media environment, was articulated as broadcasting an increased availability of footage depicting officers either engaged in, or perceived to be engaged in, matters related to abuse or misuse of power. This relatively recent media phenomenon, and its impact upon public trust in policing, particularly with respect to minority communities, remains a significant problem in need of vigorous and holistic solutions. In both professional command training and graduate school, the chief's studies focused on the changing nature of media.

The chief discussed the experience of policing during a time when the organization was largely precluded from responding to television and print news accounts, even when reporters consistently delivered negatively-biased reporting of the organization and its actions. By contrast, the chief described the current landscape of communication as enabling the organization with direct, timely and widespread access to the community and the media through the utilization of multiple social media platforms. The following excerpts reveal the chief's lived history on the matter. The chief's voice demonstrates how passionately the chief believes in operationalizing existing technology to the benefit of the organization:

Newspapers were these incredibly thriving, incredibly powerful organizations within your city...they were very, very powerful. If you had a reporter on one of those staffs that had a bone to pick with your organization... they can do a tremendous [emphasis added] amount of damage to your organization with the power of the pen. But, with changes in technology, some of those entities are falling apart...they are a skeleton, a fraction of what they used to be from a power standpoint...technology has changed. Regular print media has not found a way to
be successful and be profitable and be able to survive in this environment, and we have the ability through technology to take control of our own message.

So...when I became chief, I put our entire community affairs unit...on steroids...I created professional community engagement specialist positions in the organization - completely reinvented community affairs.

We have an incredible presence online...Everything from YouTube to Twitter and Instagram and Facebook...with regular contact constantly going out. These are people that are professionally skilled in community engagement that go out and foster relationships. They get out in front of issues...they both came in with a very strong social media marketing background. Both of them are educated. One...is getting her master's degree, the other one has several years working for a PR firm...college as well. So, they're both very, very skilled in social media. They're both pretty skilled at that outreach type work...They actually manage, in many ways..., our communication...They'll say, 'Hey chief, this particular group is having an event next Friday...and we've been talking to the group and we really think there's probably some value if you...speak to them'...And then, they'll give me my talking points...So it's a professional PR organization that's responsible for...our branding and our imagery to the public. And I think any organization today that doesn't do that - to control what they look like to the people that they police - I think you're missing out on an enormous, enormous [emphasis added] force multiplier."

Finding Twenty-Two: The chief identified an opportunity to develop and implement innovative change in response to a fiscal crisis with a corresponding reduction in force, by leveraging enhanced efficiencies to sustain policing services.

Another outgrowth strategy developed by the chief in response to the city's economic decline was to civilianize, where feasible, functions in the organization to facilitate and enhance sworn personnel capacity. While staffing civilian personnel within police organizations is commonplace, the chief continues to significantly expand civilian capacity to alleviate non-essential functions from police officers as a way to expand sworn officers' capacity by enabling them to focus solely on activities requiring sworn personnel action. As with several other findings in this study, this innovation is stretching the collective comfort zone of the organization's culture. The chief remarked,
I have a philosophical approach to how we do this. If a job can be civilianized, it will be civilianized...when it comes to the sworn folks, I created civilian investigators and needless to say, they [police union and detectives] weren't happy about it...In the union environment, they feel like that's mission creep...But...you have an honest conversation. ...when...it's time for you to negotiate a contract, you're in a much stronger position when...we don't have people that are carrying guns [sworn personnel] that are off doing superfluous work. As an organization, we have become so efficient...that it is much easier for you to negotiate a good, strong benefit and compensation package for 260 members...than it is for 400 members...your value is going to be that much higher when they realize...All of our...gun-carriers are out in the field.

We've been doing it for three years...we're getting ready to expand some of the...things that those civilians can do, to allow them...to make it a little bit easier for them to write search warrants...I got a little bit of pushback from the union. But when we talked about it.. Have I broken any of my promises? I kept every single one of them...There's not a single detective position that was lost...Every single thing that we had in place is still in place, and we have simply continued to add capacity so we're investigating more crimes and were putting out more work. And we're doing it with civilians.

**Finding Twenty-Three:** Naturally occurring opportunities will arise to enhance ethical performance and public trust, and the organization will observe and learn from the chief's managing a given opportunity.

The chief was asked how the executive's role might be manifested as it relates to ethical performance and the power - trust relationship. The chief responded as follows:

I think you can be a little disingenuous when you try to create opportunities or...exploit things that aren't really an issue. But I think all of us, as leaders, have natural opportunities that arise that the organization's going to watch and see how you're going to manage it...basically, you're being tested...You've got to be cognizant of when those opportunities present themselves and how you manage them. But outside of that, you've just got to model the behavior and make sure that your people...see it in you as much as possible...And then how do you make sure it gets communicated.

The chief provided an example of an arising opportunity [details not revealed to protect confidentiality] whereby the chief conveyed some general commentary, exemplifying that when faced with an opportunity, intentionally role-modeling ethical
performance demonstrates internal integrity for organizational members and enhances public trust. The chief said,

We did everything right as an organization. Nobody covered anything up. I made sure that everybody did their job...understand that it's going to be scrutinized more than most...and then the next day when there's a little bit of a rumor mill going on, and you just address it head on...and, for the most part, that issue has gone to bed...because the organization just understands that we did everything right.

There's no controversy.

*Finding Twenty-Four:* The level of ethical performance is directly related to the organization's willingness and capacity to provide effective support services for organizational personnel.

There is a reality in the U.S. policing model whereby police officers are essentially relegated the perpetual responsibility of ethical performance without an organizational strategic plan to support officers' ongoing capacity and desire to perform ethically. This policing paradigm presents some inherent issues as police officers deal with very challenging emotional events and circumstances, many of which can exceed their effective coping abilities. There are many examples in policing, whether from a singular event causing acute stress or arising as a function of cumulative events, in which a police officer's capacity to function ethically has been compromised.

Within this context, the chief was asked, "So how then, does an executive leverage the organization to focus on ethical performance in support of the individual officer in a strategic way?" It is noteworthy to add that this chief has led the organization through many very traumatic events during the course of service. The following selected passage synopsizes the chief's remarks:
I mean providing that level of support necessary to allow them to at least be as healthy as possible. We've got a number of employee assistance program services in place. We have internal peer counselors. We have contracted with an external professional organization that specializes in public safety counseling. How we use those is quite often our discretion...You make sure that your workforce understands that those services are always available twenty-four hours a day, seven days a week, on a completely confidential basis for anything that they want to take to them.

Outside of that, by policy, you can send officers to go see a doctor for certain types of traumatic events. For instance, if involved in an officer involved [in a] shooting, you're going to automatically take a few days off to decompress...there's a policy requirement...to make contact with the counseling team...At minimum, there has to at least be some dialogue... and they understand what...services are available...aside from the shootings, we have managerial discretion to do it on other traumatic incidents.

**Finding Twenty-Five:** Despite the organization's demographics, which are inconsistent with community demographics, there has not been social unrest or any significant protests related to race.

In addition to using the organization's sworn personnel population demographics for comparison to survey respondent demographics, there is exploratory rationale for considering the organizational demographic data in comparison to community demographics. Demographic data consistent with Figure 18 was presented and discussed with the chief, who was aware of the data. Specifically, the discussion with the chief was prefaced by the relative inverse relationship that exists in the organization versus community demographics with respect to both Caucasians and Hispanics, and with respect to Caucasians and African Americans. The chief discussed this issue as follows:

So a couple of things that are fair to say. I think that we know that in a perfect world that the demographics of your agency are going to be representative of the demographics of the community that you police. But in a vast majority of communities that have high numbers or percentages of minorities, it's just the reality. To some extent, policing has largely drawn white males...but of the total number of folks that we're hiring now, I would venture to say at least half have been Hispanic. We are cognizant of it. We would like nothing more than to see more qualified people of every ethnicity come through the door, but...I don't have a mandate to
my organization...to hire an exact percentage that looks like the people we are serving. We have the mandate that we are going to hire the most qualified people we can get our hands on.

![Figure 18: Ethnicity Demographics Comparison of Study Site Organizational Sworn Personnel Population versus Study Site Community Population.](image)

**Finding Twenty-Six:** Relative to community demographics, few African Americans and Hispanics submit application for employment with the organization. Similarly, few African American and Hispanic applicants successfully complete all academy entrance requirements.

The chief conducted applicant pool studies that revealed a low number of minority applicants relative to male Caucasian applicants. Importantly, the chief also discussed the longstanding similar problem of having few African American and Hispanic applicants successfully completing entrance requirements for the police academy. Despite a number of recruiting initiatives, this situation remains relatively unchanged, and there is insufficient data to believe it will be rectified in the near future.
The chief commented:

I've got enough vacancies right now that every single person that gets through the process successfully...they've got a job waiting for them at the end of the line. I have not dealt with it in a terribly negative way in the community. We share our numbers openly with folks. There are a couple people that have asked what are we doing to hire more African Americans...the issue is not the Hispanic population. The Hispanic community has really no issue with our numbers.

We have done things over the years to try to encourage...African Americans to apply for a job. We've had workshops in the African American community. We've got a number of engagement type things...What I remind people of is, there is not a single African American person who's ever applied with our agency, that was qualified and passed all of the metrics required to be a police officer, that everybody is held to, that then wasn't offered a job with us; not a single one...there's nothing that I would love more than to bring more and more qualified African Americans into this department to police this city.

What we will do though, is we will specifically target certain people in the organization to help with recruiting. So if we have a recruiting event per se, we will typically send a good cross section of employees...so they're not just looking at a bunch of six foot two, 210 pound bald white guys, right?

Since the community workforce approximates identical numbers of males and females, the chief was also asked about the issue of disparate gender representation among the organization's sworn workforce, as the total sworn personnel population is 9.5% female. The chief further stated:

You can feasibly say half the population's female, right? And typically in our organization maybe, at best, 10% of the workforce is female...And I don't have the answer for that. But again, we hire every single qualified person we can get our hands on...the hardest part of the hiring process [for female applicants] is the physical agility. It's being able to carry that dummy and get over a wall...We will coach them, we will take them out, let them practice on it before they test...we'll do everything we can to help them be successful.

Here too, despite a number of recruiting initiatives, this situation remains relatively unchanged, and there is insufficient data to believe it will be rectified in the near future.
Integration of Data

QUAL + quan + QUAL

A final integration of all analyzed data and findings was conducted, beginning with a full review of both interview transcripts, survey instrument data and emergent findings. Both Interview One and Interview Two transcribed documents were entered into Atlas.ti 8. All 26 Findings, compiled in Table 36, were entered into Atlas.ti 8 and relevant quotations were coded to related Findings.

Emergent Themes

The 26 Findings were synthesized and distilled into four emergent Themes, as follows:

**Theme One:** The chief evaluates the organization holistically and pragmatically develops and sustains an ethically-performing workforce.

**Theme Two:** An internally-focused culture of accountability, best practice and change readiness drives ethical performance.

**Theme Three:** An externally-focused culture of transparency, through active communication in both face-to-face and technology domains, drives public trust.

**Theme Four:** Disorienting dilemmas trigger innovation and create change opportunities to develop and sustain ethical performance.

Atlas.ti 8

These themes sufficiently capture the essence of the collective findings and related data. Each theme was designated as a group code in Atlas.ti 8, and each finding
was entered into one or more group coded Themes. Each theme’s network of related findings is illustrated in Figures 19-22, respectively. Each theme’s networked findings were arranged in numerical, clockwise order for ease of reference. Among the many features available through Atlas.ti 8 are the ‘import quotation neighbors’ feature. This feature is designed to quickly identify synopses of related quotations as is illustrated in Figure 23. Also, the ‘list quotations’ feature is illustrated in Figure 24. In this table an analysis is provided of the identifying quotations related to the finding of the chief’s innovative and expanded use of civilians in the organization under Finding 22.

Chapter Five will provide the interpretation and concluding phase of this study.
Table 36: Compilation of Chapter Four Findings.
Figure 19: Atlas.ti 8 - Theme One and Related Findings in Circular Network.

Figure 20: Atlas.ti 8 - Theme Two and Related Findings in Circular Network.
Figure 21: Atlas.ti 8 - Theme Three and Related Findings in Circular Network.

Figure 22: Atlas.ti 8 - Theme Four and Related Findings in Circular Network.
Figure 23: Atlas.ti 8 - Theme One with Culture example using Import Quotation Neighbors.

Figure 24: Atlas.ti 8 - Theme Four with Innovative Change example using List Quotations.
CHAPTER FIVE
Discussion

Introduction

This exploratory, mixed methods, single-bounded instrumental case study examined a current policing executive's lived experience, related to how the chief leads the organization's ethical performance, and included an underpinning purpose of exploring the phenomenological policing power - public trust relationship. As outlined in Chapter One, there is a significant gap in the literature which this study sought to explore. Specifically, this inquiry contributed to the collective body of ethical policing leadership literature, through findings and themes developed to generate exploratory insight of "what works" in police leadership, "beyond what others perceive to be effective" (Pearson-Goff, & Herrington, 2013, p. 21).

The exploratory research question that guided this study is as follows:

How does a police executive develop and sustain an ethically performing organization, vis-à-vis the policing power - public trust relationship?

Interpretation of Findings

In this interpretation of findings section, and consistent with Chapter Three, Figure 10, the four emergent themes are synthesized and discussed to provide additional thematic meaning, and will conclude with a conceptualization of emergent themes and their interrelationships.

The chief’s pragmatic approach to ethical policing performance appears to have created a highly ethical organization, and one favorably viewed in the community despite
experiencing high crime rates. The chief leveraged change management and transformational leadership to develop an organizational culture of change readiness and best practice to drive ethical performance and public trust. For ease of reference, the four emergent themes are restated below:

Theme One: The chief evaluates the organization holistically, and pragmatically develops and sustains an ethically performing workforce.

Theme Two: An internally-focused culture of accountability, best practice, and change readiness, drives ethical performance.

Theme Three: An externally-focused culture of transparency, through active communication in both face-to-face and technology domains, drives public trust.

Theme Four: Disorienting dilemmas trigger innovation and create change opportunities to develop and sustain ethical performance.

The problem of relegating ethical performance to the individual officer was raised in Chapter One, providing rationale for the prominence "organization" has in the research question and in this study. Prior to conducting the first interview, the extent to which this chief directs organizational resources in support of developing and sustaining officers' capacity to perform ethically, was unknown. The inquiry revealed that this chief conceives, plans, directs, influences, and ensures accountability at the organizational level. Notably, after having purged all researcher input from interview transcripts, the Atlas.ti 8 Word Cloud function revealed that the words spoken by the chief most frequently in both interviews were "people" and "organization," (apart from a few commonly-used but insignificant conjunctions and prepositions).

The chief in this study served an entire career in the study site organization and consequently, has considerable investment in the organization and the community. This
investment afforded the chief intimate insight regarding the culture of the organization, community, governance, and most importantly, their interconnected relationships. As outlined in Chapter Three, identifying this particular chief for this study was a function of having held discussions with others in the study site community about matters related to ethical leadership and personal integrity, and after conducting relevant research in the public domain. This review revealed that this chief possesses a record of ethical integrity and is generally held in high esteem in the community, and viewed as effectively leading the organization.

The methodological, pragmatic exploratory approach, seeking to understand "what works," as outlined in Chapter Three, unexpectedly encountered a chief whose approach to leading ethical performance in the policing organization was grounded in a pragmatic "what works" leadership strategy. If one's leadership style or strategy is to be effective, it should comport with the leader's belief in how to best lead an organization, combined with a genuine willingness on the part of the leader to be held accountable (Schraeder, Tears & Jordan, 2005). In return, a police chief must have support from the authorizing environment, particularly when externally driven events, such as a crippling fiscal crisis, severely diminishes the organization's capacity to provide community expected policing services. A severe economic decline in an already depressed "rough town," leads to increased criminal activity, calls for service, and a city policing organization undergoing stress and uncertainty. Moreover, in addition to this already bleak policing landscape, the chief's organization was further destabilized from a considerable loss of human capital, as sworn personnel resigned and joined other organizations over increasing anxieties regarding the solvency of their retirement funds.
The chief was appointed to lead the organization when the city was mired in this fiscal crisis. The nature of the organization's environment and circumstance at the time the chief transitioned into office is vital to gleaning relevant insight from the interconnected findings and themes. There was considerable risk to the chief personally, in agreeing to lead the organization. Any chief would arguably have plenty of opportunities to fail, given this environment. The relative merits of appointing a chief from within the ranks of an organization or from elsewhere has long been debated. There are reasonably sound arguments on either side of the issue. For this particular organization, at this specific time, and in this specific circumstance, an outsider appointment could have been disastrous. This chief was highly invested in the organization and the community, with the benefit of a career-long stellar reputation and, perhaps most importantly, without the need to navigate the culture learning curve, which would have posed an untenable risk for the city.

*In the long run we are all dead* ~ John Maynard Keynes

Generalized interpretation and meaning-making relative to the salient *so what* question in this exploratory case study, begins with the finding that this chief successfully leads people in the organization. The chief's daily leadership approach is to pragmatically and holistically consider solutions to the multitude of short term problems confronting the organization. This short-term pragmatic problem-solving approach could not encompass harnessing what would have been significant time and resources to pursue a long-term, involved ethical performance training and development plan for sworn personnel.
Instead, the chief focused efforts on short-term, feasible, and proven measures to ensure ethical performance was developed in young officers and sustained among remaining sworn personnel. The chief leveraged a career-long ethical history, known to the people in the organization, to further role model and challenge subordinates to role model their own ethical performance. Chapter Four findings revealed that the chief role-models and provides clear guidance and expectations to the workforce on ethical conduct including, "doing the right thing, for the right reasons," "don't compromise your integrity for anybody," and, "if you lie - you die."

_You don’t build a business. You build people and then people build the business_
~ Zig Ziglar

The chief clearly stated the difficulties officers face in a crime-ridden environment, including too many resource demands and insufficient provisions to satisfactorily meet many of the safety and security needs required of the organization to police its city. One of the most insightful statements from the chief was, "Officers are _bombarded_ with opportunities to do wrong." This is connected to daily transacting ethical performance in the study site city. Nonetheless, the chief expressed an unambiguous expectation of accountability for ethical performance from the organization's officers. Moreover, this study also found, as supported by the chief and the sworn personnel, that the organization's internal affairs section fairly investigates allegations of misconduct. The chief stated that serious allegations of officer misconduct are very rare in the organization.

The chief also described a complementary pragmatic approach to accountability. As a function of recognizing the potential for unethical performance, the chief spoke of
seizing on every potential opportunity to help officers be successful. The chief clearly outlined the notion of "hire-to-retire" as the organizational philosophy impacting the officers' ability to be successful. Additionally, whereas ethical performance is transacted as an organizational performance output, the chief focuses on performance input and processes to drive workforce development. Because of the city's ongoing fiscal crisis, the chief recognized that opportunities to fill sworn personnel vacancies would be few and, therefore, the organization would necessarily require well-targeted recruiting to identify applicants with high ethical standards and, concomitantly, a 'real-world' perspective. Indeed, the chief spoke of the significant investment required to properly staff and resource the organization at a time when resources were scarce. The period from recruitment through completion of an officer's field training exceeds one year.

The chief's pragmatic role modeling leadership includes industry best practice leadership. In addition to encouraging subordinates to engage in continuous learning, the chief has role modeled this behavior. The chief conducts disciplined research of policing news and events, training and development opportunities, consequential law and policy developments, and advances in policing technologies to identify best practice in the policing industry. Investing in policy development is an example wherein the chief utilizes the synergies of role modeling, workforce development and best practice policing to drive ethical performance. The organization uses best practice policy development, which includes a continuous learning component, as a function of ongoing change in the policing environment. The chief provides the workforce with daily training bulletins and tests their knowledge and application through scenario-based exercises. In reaction to nationally publicized events in which public trust in the police was in jeopardy, the chief
traveled out of state with departmental and community members for an overview presentation on training entitled, "Police Legitimacy and Procedural Justice." This training had just been launched, and was believed to be influentially helpful for sworn personnel, as outlined in Chapter Four. The chief later prompted the state to certify the training, which afforded it greater credibility and enabled its statewide diffusion.

The following exchange occurred after having concluded a discussion on the relative value the chief ascribes to the philosophy of role-modeling leadership, and exemplifies a keen sense of leadership self-awareness. The chief was asked, "So, you'd rather see a sermon than hear one?" The chief replied, "Yes...," but then quickly added, in executive leadership role-modeling genre, "...or show one rather than give one."

*If the rate of change on the outside exceeds the rate of change on the inside, the end is near ~ Jack Welch*

The chief leveraged the disorienting dilemma of the ongoing economic decline and high crime rates in the community, and protracted financial crisis in city government, to drive the organization's culture toward an intimate understanding and appreciation of the necessity to adapt and change (Mezirow, 2000). Indeed, many of the findings in Chapter Four were either facilitated by or occurred with less resistance as a function of the organization's evolving culture of change. Implementing body-worn cameras was facilitated by the organization's change readiness culture, exemplified by sweeping acceptance of the technology. The chief's innovativeness to expand the organization's historical limitations on the civilian workforce, to include developing search and arrest affidavits, received initial skepticism and concern from sworn personnel. In the end, however, the culture of change readiness coupled with the chief's sage "win-win" counsel
to sworn personnel stakeholders, enabled the organization's level of performance to remain relatively stable through increased efficiencies.

*Practice creates confidence. Confidence empowers you ~ Simone Biles*

This research study resulted in creating an ethical performing framework of the organization and most importantly, insight into a culture that is empowered and capable of driving the organization's ethical performance to positively impact public trust, as gleaned from the chief and survey instrument data. The chief understood at the onset of the city's financial crisis that expanding communication with the community would be imperative, as the expectation, rightly considered, was that high crimes rates would continue or rise, while the organization's crime fighting capacity would diminish.

Findings from Chapter Four further revealed that the chief, through the organization, drives ethical performance through actively engaging and communicating with the community and the media, and is proactively transparent. In the chief's words:

> So…when I became chief, I put our entire community affairs unit...on steroids...I created professional community engagement specialist positions in the organization... We have an incredible presence online...with regular contact constantly going out. These are people that are professionally skilled in community engagement that go out and foster relationships. So, it's a professional PR organization that's responsible for...our branding and our imagery to the public. And I think any organization today, that doesn't do that - to control what they look like to the people that they police - I think you're missing out on an *enormous, enormous* [emphasis added] force multiplier.

The chief was developing this innovative community affairs unit at about the same time a forward-looking European group funded a project to develop a social media adaptation best practice (Denef, Kaptein, Bayer, & Ramirez, 2012). The project's results culminated in identifying nine categories representing policing best practice in social media adaptation as follows:
1) Social media as a source of criminal information;
2) Social media in providing a voice to the organization;
3) Social media to push information;
4) Social media to leverage the wisdom of the crowd;
5) Social media to interact with the public;
6) Social media for community policing;
7) Social media to show the human side of policing;
8) Social media to support police IT infrastructure and;
9) Social media for efficient policing (p. 12).

Project authors added, "Forces [police organizations] that are active on social media are able to confront a number of pressing issues that relate to the increasing ubiquity of social media and their relevance in citizens’ lives" (p.14).

In the Police Executive Research Forum (PERF) report entitled *Leadership Matters: Police Chiefs Talk about Their Careers*, twenty-five policing executives were selected because of their standing in the industry and their varied backgrounds and experiences (Fischer, 2009). They represented a cross section of small, medium, and large size organizations. One chapter is entitled, "Transparency and Accessibility: The hallmarks of an effective media relations strategy." The chief in this present study meets or surpasses performance recommendations from these chiefs, relative to both community and media relations. In addition, this publication discussed the relationship of the policing industry and the media in a fairly adversarial context, one in which a chief must afford some level of accessibility or otherwise risk a problematic media relationship. By contrast, findings from Chapter Four depict this chief as a willing and collaborative partner in communicating with both community and media stakeholders.
Figure 25 provides an interpretation of Chapter Four findings in terms of emergent themes and their organic interconnectedness, illustrating how these themes drive ethical performance and, ultimately, serve to enhances the policing power - public trust relationship.

Results from a current study, conducted by a state university, revealed that crime and gangs remain the primary concern in the community. However, more than two-thirds
of those surveyed also rated the police as either ‘good’ or ‘excellent.’ [citation omitted to preserve confidentiality.] This is consistent with interview data and findings, as outlined in Chapter Four. Therefore, this study’s organization currently experiences an expectations gap in both crime fighting and ethical performance, although the latter gap is arguably less than the industry norm. This is depicted in Figure 26 and should be comparatively evaluated with the relative industry norm illustration in Figure 3, page 51.

**Figure 26**: Illustrated Ethical Policing and Crime Fighting Performance Expectations Gap

**Context of Findings - Related Literature**

A related review of the literature in this study was necessarily broadly conceived, primarily because of the exploratory nature of the inquiry coupled with minimal
knowledge of the organization. The three areas of literature reviewed consisted of:

1) Social contract theory, history of policing, and power-trust relationship;
2) Leadership; and 3) Organizational development. A Venn triad diagram, depicted in Chapter Two, Figure 1, illustrated the literature reviewed, identifying an Ethically-Performing Police Organization (EPPO) as the area of convergence. The study findings and themes are discussed in context of the relevant literature. Moreover, analysis is provided as to the extent that the study findings are congruous with the relevant literature and/or how they otherwise contribute to this discussion.

**Communication and Relational Leadership**

*Communication is the language of leadership ~ James Humes*

Organizational success is often a function of the relative effectiveness of its communication and is, therefore, important to incorporate into the contextual discussion for this research study. Aggregated results of the policy communication survey statement revealed that 55% of survey respondents disagreed that an intent to implement a new policy in the organization is well-communicated. When discussing this finding, the chief commented that communication is frequently mentioned as a problem in the organization. Although the organization has demonstrated effectiveness in implementing change and best practice, organizational communication appears unreliable. Developing a robust communication planning and delivery process would be an important next step in the organizational development process (Harshman and Harshman, 1999). These authors further suggest overlaying a communication oversight committee, whereby the organization could leverage existing capabilities of the Community Affairs Unit to identify internal communication problems and create or modify process solutions.
The single biggest problem in communication is the illusion that it has taken place ~ George Bernard Shaw

In answering the survey statement "Our chief cares about the police officers in our organization," two survey respondents commented that care of officers is not well communicated by the chief and, therefore, not well perceived. The art of empathically communicating, a mutually-responsible endeavor, can be incalculably challenging. As chief, it is indeed a complex and challenging predicament to be able to simultaneously communicate one's care and concern to organizational members, in a way that it appropriate for their various needs and which meet their individual and often-nuanced communication expectations. Given this reality, the mean of 2.18 in the relevant survey statement may be unremarkable. Nonetheless, the chief's comment and the study findings suggest a need for the organization to explore their processes and develop remedial solutions to improve organizational communication.

The findings from this research study support a very deliberative and caring ethic, exemplified by the chief's committing the full complement of the organization's resources that would be necessary to maximize all possible opportunities for subordinate officers’ success. Many of those resources and the conscious efforts expended to ensure success of organizational members is threaded throughout the findings and themes. One measurement of a leader's level of care and concern for his/her staff is whether that leader is concerned enough to serve as a role model and mentor for his/her employees' ethical performance. For a policing leader, there is no greater privilege and nothing more vital than the responsibility of "influencing the ethics and integrity of employees" (Fitch, 2014, p. 394).
It is important to note that within the context of ‘duty of care,’ there is an embedded, implied reciprocity, as relational or referent power significantly correlates to employees’ organizational commitment and job performance, compared to organizational sources of power (Kessler, 2010). Findings in this study support the chief’s observation that employees' organizational commitment and job performance is high. Therefore, either the findings relative to the chief’s care of officers in this study is unremarkable, findings in the Kessler literature is not applicable to this study, or there is some other moderating, unknown variable.

**Organizational Learning**

*Through learning we reperceive the world and our relationship to it ~ Peter Senge*

The concept of a learning organization was introduced by Senge (1990), and is characterized by an organization's dynamic systems, which are inherently in a state of constant adaptation and undergoing improvement related to continuous learning. From learning theories discussed in Chapter Two, cognitivism has particular application in connecting study findings to organizational learning and performance. Among the most relevant cognitivist learning strengths include referencing one's own mental processes and drawing upon one's experience to identify problems and develop solutions; a common and requisite policing characteristic (Merriam & Caffarella, 1999). Consistent with the chief's pragmatic and holistic approach toward the people and the organization and learning organization literature, cognitivist learning occurs with respect to evaluating learning in terms of the whole rather than singularly. This theory suggests, “The human mind is not simply a passive exchange-terminal system where the stimuli arrive and the appropriate response leaves. Rather, the thinking person interprets sensations and gives
meaning to the events that impinge upon his consciousness” (Merriam & Caffarella, 1999, p. 253).

"Building learning-oriented cultures is demanding because learning stretches us personally, and it is always easier to stay in our comfort zone” (Senge, 2006, p.272).

Augmenting the rationale for developing and enhancing a learning culture, Palmer (1993) discusses ethical education as “one that creates a capacity for connectedness” (p. xviii).

There were mixed results on two survey statement responses related to ethical learning and performance: 1) Training and development programs in my organization help me to do a better job; and 2) There is a process or program in our organization, to provide officers with training and development, specific to ethics. Both statements received 68% favorable ratings, but compared to most other statements related specifically to individually driven ethical performance and change readiness, with scores over 90%, it signifies potential deficiencies in the organization's training processes. Applying the analysis, design, development, implementation, and evaluation (ADDIE) model of instructional design to the organization's current training scheme should aid in identifying potential problems.

Culture

Culture eats strategy for breakfast ~ Peter Drucker

In this study, emergent findings and themes identified culture as a prominent feature, effectively leveraged by the chief and sworn personnel to perform ethically and garner public trust. Indeed, the chief stated, I think culture is quite possibly the single biggest driver of that [ethical] performance [emphasis added]. According to Key (1999),
“By definition, culture is *shared* beliefs of an organization’s members, hence the ethical culture of an organization would be reflected in the beliefs about the ethics of an organization which are shared by its members” (p.217), and provides norms that afford individual members behavioral cues. In the organizational culture model proffered by Denison, Hooijberg, Lane and Lief (2012), *assumptions* are added with beliefs and similarly recognized as an important underpinning to organizational culture. As illustrated in Figure 25, organizational culture internally encompasses leadership, accountability, workforce investment and development, best practice policing, and change readiness. Moreover, the organization's culture provides for flexibility and innovativeness, as evidenced from internally generated efficiency benefits through civilianization efforts, and externally driven community engagement initiatives.

Key (1999) conducted research to evaluate the efficacy of an ethical culture survey and concluded the instrument may evaluate an individual’s perceptions regarding organizational ethics, but could not identify shared beliefs about an organization’s ethical performance. According to Key, organizational culture, whether healthy or unhealthy, is believed to influence the ethical conduct of individual members however, survey findings suggest an inconsistency, dependent upon whether a respondent was rating self or another. From interviews with the chief, findings demonstrated that the organization's vision, mission, and core values are known and included in the organization's culture through documentation and implicit understanding, but are not explicitly prevalent in day-to-day activities. The model put forward by Denison, Hooijberg, Lane, and Lief (2012) (Figure 27) mirrors the findings of this study, suggesting that these traits are most relevant in stable, long-term environments. Essentially all assertions explicitly worded
and illustrated in the model, relative to the interconnected and dynamic influential role of culture and its environment to influence organizational performance were consistent with findings in this study.

Further, their research revealed a closeness between organizational performance and organizational character, which was likewise identified through the findings in this study. Denison, Hooijberg, and Lane (2012) identified mission, adaptability, involvement and consistency as four key factors most influencing organizational performance. Mission is defined from a combination of an organization's use of strategic direction and intent, goals and objectives, and vision. Adaptability is characterized by an organization's use of organizational learning, customer focus, and creating change. Involvement consists of empowerment, team orientation, and capability development. Lastly, consistency traits include core values, agreement, and coordination and integration.

The model also delineates four dynamic tensions emanating from these four key performance factors that are relevant to this study. Organizations with combined traits in mission and adaptability tend to perform well with respect to an external focus. By contrast, organizations with strengths in the key performance factors of involvement and consistency perform best when internally focused. Organizations with strengths in the mission and consistency factors, are characterized as most suitable in stable environments, whereas the key performance factors of adaptability and involvement exemplify requisite characteristics for an unstable or flexible environment (Denison, Hooijberg, Lane & Lief, 2012).
Figure 27: The Denison Model of Organizational Culture. Reprinted from Leading culture change in global organizations (p. 166), by D. Denison, R. Hooijberg, N. Lane and C. Lief, 2012, New York: John Wiley & Sons. Copyright 2012 by Denison Consulting, LLC. Reprinted with permission.

Organizational Performance

*Past performance produces present privileges* – Anonymous

According to Armstrong (2000), performance management must be holistically pursued as, "It takes a comprehensive view of constituents of performance" (p. 5). Adapted from Schein (2004), performance management in policing is a strategic and integrated process that delivers sustained success to an organization by improving performance of human capital and by developing the capabilities of individual
contributors, units and teams. It should be strategic in the sense that it is concerned with
the broader issues facing an organization if it is to function effectively in its environment.

**Organization Change and Transformation**

*Every great change is preceded by chaos ~ Deepak Chopra*

As discussed in Chapter Two, modern era thought on transformational learning
and transformational leadership emerged in the late 1970's, when introduced by Mezirow
and Burns, respectively (Burns, 1978; Mezirow, 2000). "Transformational learning is the
process of effecting change in a frame of reference" (p. 6). Frames of reference refer to
our internalized assumptions, or the way in which we create meaning for ourselves,
cognitively and emotionally (Mezirow, 1997; Mezirow, 2000). Transforming our frames
of reference for Mezirow (1997), occurs through what he terms, "critical reflection on the
assumptions upon which our interpretations, beliefs are based" (p. 7). For Brookfield
(1994), the process of critical reflection, beyond questioning assumptions, includes a
willingness to question the premise of a given problem, such that one is open to
reframing it. This process is one which is both objective, empathically reframing
assumptions of others, and subjective or, reframing one's own assumptions. This process
is requisite for sustaining commitment of a team in a given transformational endeavor
(Brookfield, 1994; Mezirow, 2000).

Burns (1978), Howell & Avolio (1992), Bass and Steidlmeier (1999), among
others, found morality as a factor in examining transformational leadership
characteristics. Bass and Steidlmeier (1999) argue that morality is foundational to
transformational leadership, conveying a perception of authenticity. There are three
cornerstones of ethical leadership linked to a policing organization's ethical policing
performance, and central to the purpose of the current study. These ethics are 1) Leadership character; 2) Ethics contained in the leader's vision, sufficient to engender follower support; and 3) The morality of the processes of social ethical choice and action that leaders and followers engage in and collectively pursue (Bass & Steidlmeier, 1999).

According to Singer and Singer (2001), transformational leadership in policing need not, and arguably should not, be void of transactional behaviors. Transformational leaders, utilizing a predominantly non-forcing, soft, and rational style, yet coupled with a lesser utilized directive approach that is intentional and targeted, may provide for optimal outcomes, particularly when interaction of the two styles is keenly implemented (Emans, Munduate, Klaver & Van de Vliert, 2003).

More specific to the problem undertaken in this study, relates to performance change. Since this study sought to understand how a policing executive organizationally develops and sustains ethical performance, organizational structures, processes, support, and the like were considered. Performance improvement interventions have similar characteristics and most often an internal or external event or circumstance giving rise to a needed change (Gilley, Dean, & Bierema, 2001).

Diffusion of Innovations

*If you always do what you always did, you always get what you always got* ~ Albert Einstein

Diffusion of Innovations (DOI) theory has application in the ongoing civilianizing of previous-held sworn personnel functions, and with regard to the community affairs engagement initiatives as discussed and analyzed in Chapter Four. Rogers (2003)
developed a comprehensive framework for understanding the nature, attributes, development and decision processes, adoption, networks, and organizational aspects of DOI, all of which are critical in contemplation of any diffusion undertaking. Rogers (2003), defines diffusion as, “the process in which an innovation is communicated through certain channels over time among members of a social system” (p. 5). In writing on policy innovation, Eyestone (1977) defines diffusion as, “Any pattern of successive adoptions of a policy innovation” (p.441). An innovation is an idea, practice, or object” (Rogers, 2003, p.12), which is new. The matter of newness, Rogers (2003) argues, may be either objectively or perceptively held, as newness is considered from the perspective of an individual or an organization. Diffusion communication occurs when a new idea is exchanged. "The essence of the diffusion process is the information exchange through which one individual communicates a new idea to one or several others” (Rogers, 2003, p. 18).

Rogers (2003), describes DOI in terms of the organizational and decision making innovation process, which consists of two phases. In phase one, agenda-setting starts the process, in which problems and resolution requirements are first identified. This is followed by matching problems with innovations, and includes adaptive tailoring. Between phase one and two, there is a decision point, wherein it is decided to quit or move forward with implementation. If the process proceeds to phase two, it includes three sections: 1) Redefining or restructuring, 2) Clarifying; and 3) Routinizing of the innovation - assimilation or changing of organizational culture.
Implications of Findings

Domestic Policing

This exploratory study attempted to frame the issues of public trust within the pragmatic realities of modern policing. This inquiry is contemporarily relevant to the burgeoning prevalence of public discussion and debate, related to ethical performance in policing, and the corresponding phenomenological policing power - public trust relationship. Aimed at enhancing ethical performance and public trust, best practice policing leaders have been searching for innovative training and development opportunities and technologies, much like police legitimacy and procedural justice training, and body-worn cameras, respectively. In addition, there are numerous examples of police organizations, some of which received cursory mention in Chapter Two, having managed to create positive public trust relationships in their communities, through effective leadership. The findings in this dissertation study likewise illustrate one such example: A case study of a successful policing executive in a midsize city, who possesses unique insight on how to lead an organization through change and development while maintaining ethical standards and performance.

International Policing

As a consequence of an expanded U.S. government police training and development presence in emerging democracies, effective U.S. police training and development programs are highly valued and in demand by various U.S. and host country government diplomats and bureaucrats. Police training and development initiatives are regarded as strategically critical to developing rule of law however, expected outcomes can be unrealistic as a consequence of U.S. and host country governmental business
process incongruencies, resource requirements and limitations, training transfer efficacy, and time requirements to meet desired outcomes, among others.

The relative stability of policing in U.S. cities and states through the rule of law, operating with relatively well-developed, predictable systems, and sound technological and fiscal infrastructure, is in stark contrast to the governing environment in many emerging democracies. These differences present some enormous challenges for those charged with advancing police capacity and rule of law development. For example, the use of change agents, lead users, and opinion leaders to drive organizational innovation through communication channels and networks, has broad application in many industries and countries (Rogers, 2003; Stone, 2001). Nonetheless, policing culture in many developing countries remains hierarchical and centralized and therefore, penetration of policing innovation in the agenda setting phase of organizational process innovation tends to be slow and problematic (Rogers, 2003).

There also many difficulties surrounding the matching, restructuring, clarifying and routinizing phases of organizational innovation. Policing innovations, whether driven through human capital performance or technologically are typically driven by policy, in both U.S. policing and emergent democracies however, in many emerging democracies, the communal nature of policy development, socialization requirements, and ultimate adoption may be protracted and otherwise vastly different from the U.S policing policy development and implementation construct (Boehmke and Witmer, 2004). This speed of governance reality in emerging democracies is not fully appreciated by some, having influence in directing U.S. police training and develop initiatives. The U.S. police training and development model, when rigidly applied and inconsistent with
the host country's culture and policing organization's culture, has minimal likelihood of success; at best (Miller, 2006).

**Limitations of the Study**

This exploratory single-bounded case study construct necessarily includes several significant limitations. Although this inquiry revealed a rich perspective with regard to one organization and its police chief and, although one or more emergent findings or themes may have ecological application with similarly-situated chiefs, organizations and communities, external generalizability is not possible foreseeable. Morris (2008).

Additionally, a significant limitation arises regarding the respondents, which would provide a holistic viewpoint of the origin and impact of ethical police leadership. While this study collected and analyzed data from the chief of police and a portion of the organization's sworn personnel, it was conducted without having given voice to those impacted by the organization's performance, both internal (complete sworn officer demographic) and external (community).

Limitations also included a lack of participation by all sample strata in the police organization. This mixed methods study was weighted qualitatively, with a primary focus on collecting, analyzing and interpreting interview data from one police chief. All sworn personnel in the organization were invited to participate in this study, through an online quantitative survey instrument however, only 16.38% of the organization's sworn personnel chose to participate. Survey specific findings developed as a function of data collected from survey respondents however, it is unknowable what non-participants may have intimated through their survey responses. There was considerable demographic underrepresentation with survey respondents, as follows:
<table>
<thead>
<tr>
<th>Category</th>
<th>Underrepresented Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Rank:</td>
<td>Patrol officers, corporals, and detectives were underrepresented. The &quot;patrol officers&quot; category was the most underrepresented rank.</td>
</tr>
<tr>
<td>Years of Service:</td>
<td>Sworn personnel, having served less than 15 years were underrepresented. The &quot;less than five years of service&quot; category was the most underrepresented group.</td>
</tr>
<tr>
<td>Age:</td>
<td>Sworn personnel under the age of 37 were underrepresented. The age range category of 21-28 was the most underrepresented group.</td>
</tr>
<tr>
<td>Ethnicity:</td>
<td>Both Hispanics and African Americans were underrepresented.</td>
</tr>
</tbody>
</table>

This demographic underrepresentation data created an internal generalizability limitation in the study. The degree to which this limitation influenced study findings is unknowable however, it precluded the ability to conduct more robust exploratory quantitative survey data analysis from which, demographically delineated inferences may have been formulated.

**Future Research Recommendations**

Given the import of the findings in relation to the current political environment in the US, similar, more expansive research should be undertaken with a methodological design that integrates additional quantitative and qualitative data collection and analysis methods including big data analysis, observation, document analysis and small-group discussion, to generate greater triangulation of data, findings and themes. A multiple case study methodology would provide the ability to focus on one or more themes identified in this study or identify, for example, how leaders in organizations with relatively stable environments lead their respective organizations to perform ethically and build public trust. Recommendations for future research also includes the role of internal communication in leading ethical policing performance, as transmitting policy is one of
the most important conduits through which expected ethical performance is communicated.

As best practice policing generates innovative learning and technological applications relative to the ongoing public discussion of police legitimacy and procedural justice, research could also be conducted to determine its relative effectiveness in developing, enhancing and sustaining ethical performance. Given this organization's current success and expected future benefits from having developed and implemented a robust community engagement strategy, and the similar social media adaptation study outlined in the interpretation section, identifying like characteristics, further study could evaluate the relative value and impact upon the community. An extension of this research could include treatment and control groups for adoption of social media outreach as it impacts community engagement. Targeting the research in similar mid-size communities with high crime rates would enable a greater understanding of the public trust – policing dynamic.

As a consequence of the uniformity with which the study's findings aligned with the organizational culture influencing performance model, surveys associated with the model could be administered to study participants as a primary method of inquiry or in combination with other qualitative or quantitative methods to enrich and triangulate data (Denison, Hooijberg, Lane & Lief, 2012).

Other relevant and potentially impactful additional research would include a study to identify moderating variables relative to contexts wherein a community has public trust in the police generally, even though the community's ethnic minority population is much greater than its predominately ethnic majority police organization. In similarly-situated
communities, additional research could also be conducted to add to the body of literature on identification of factors, both internal and external to the policing organization, leading to a police applicant pool predominantly comprised of Caucasians.
APPENDICES
APPENDIX A

Definition of Terms

*Broken Windows Policing*: Serious street crime flourishes in areas in which disorderly behavior goes unchecked.

*Community-Oriented Policing*: 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. (US Department of Justice, Community Oriented Policing Services COPS Office).

*Community Policing*: A policing philosophy and a process for better sharing of information and values by the police and the community through partnerships of mutual trust, disclosure and shared values. This mutual trust, disclosure and shared values are reinforced through regular interaction, critique and discussion. Instead of being considered crime fighters, the mentality of community policing is to be problem solvers. Instead of distancing themselves from the community, the police proactively take on responsibility of being community advocates. Mutual understanding between police and community seeks to repair past practices of police talking to and not with the communities they serve. The ingredients of a particular community policing program depend on many variable factors.

*Diffusion of Innovations*: A process by which an innovation is communicated through certain channels over time among the members of a social system (Rogers, 2003).

*Hot Spots Policing*: A policing tactic of focusing on small geographically areas or places for relatively short periods of time, usually in urban settings, where crime is concentrated.

*Performance Management in Policing*: Performance management in policing is a strategic and integrated process that delivers sustained success to an organization by improving performance of the people who work in them and by developing the capabilities of individual contributors and teams. Performance management in policing should be strategic in the sense that it is concerned with the broader issues facing an
organization, if it is to function effectively in its environment, and with the general
direction in which the organization intends to go to achieve its long-term goals.
Performance management in policing is integrated in two ways: 1) Vertical integration,
which is the linkage or aligning of an organization, team and individual objectives with
core competencies; and 2) Horizontal integration, which is the linking of different aspects
of human resource management, especially organizational development, human resources
development and rewards, to achieve a coherent approach to managing and developing
people.

*Chief/Chief of Police/Police-Policing Executive:* In the context of this study, Chief/Chief
of Police/Police-Policing Executive are terms used interchangeably, and reserved
exclusively for the chief executive, the ultimate internal decision maker to whom all
others are accountable. In most police departments this position and title is chief of
police. Police executive does *not* include assistant chief, deputy chief or any other
position of authority, lower than the agency head.

*Math problem-oriented policing (POP):* An analytic method used by police to develop
strategies that prevent and reduce crime. Under the POP model, police agencies are
expected to systematically analyze the problems of a community, search for effective
solutions to the problems, and evaluate the impact of their efforts (National Research
Council 2004). POP represents police-led efforts to change the underlying conditions at
hot spots that lead to recurring crime problems. It also requires police to look past
traditional strategies and consider other possible approaches for addressing crime and
disorder (Weisburd and Eck 2004). Today, it is one of the most widely used strategies
among progressive law enforcement agencies (Weisburd et al. 2010).

*Sovereign:* Government, which obtains and sustains its power by the consent of its
governed individuals, through their elected representatives.
APPENDIX B

Chief of Police:

Semi-Structured Questions (Interview One)
Policing Executive

1) Could you describe your leadership in terms of the ethical vision you set for your organization?

2) What are the central tenets of your mission statement and how do you communicate them to your sworn personnel?

3) What strategies do you use to achieve your mission, particularly as it relates to ethical performance?

4) In general terms, how do you see the status of the policing power - public trust relationship in the United States?

5) How do you see the status of the policing power - public trust relationship in this community?

Questions for Comparison to Survey Data of Sworn Personnel

➢ What is your primary expectation of your officers in performing their duties?

➢ Do you believe that much of what your officers do in their day-to-day activities impacts public trust?

➢ In what ways does your organizational culture support ethical performance?

➢ In what ways does your organizational culture negatively influence ethical performance?

➢ Do you believe that your entire organization works to support the ethical performance of police officers in the field?

➢ Do you have a process or program in our organization, to provide officers with training and development, specific to ethics?

➢ Do you believe that your entire organization's primary mission should be to support ethical performance?

➢ How do believe your internal affairs functions, in terms of conducting fair and impartial investigations?
APPENDIX C

Pilot Study Documentation

Chronological e-mail exchanges related to:

1. Pilot Study face validity
2. Obtaining permission to conduct Pilot Study from Pilot Study Site Chief of Police
3. Acquiring e-mail addresses for Pilot Study Participants
4. Pilot Survey administered to potential participant pool and Pilot Survey link screenshot

{e-mail addresses were formatted for consistency and ease of reference; superfluous text was omitted; and some data was redacted as necessary to maintain confidentiality of the Pilot Study participant pool and Study Site organization}
Dr. Miller:

I have been approved by IRB to proceed. One of the first things for me to check off the list is the pilot study. Chief Kassetas has approved my conducting a pilot study with a 10% stratified (by rank) sample and he has provided me their e-mail addresses.

First however, as you might recall, Step 1 of the pilot study is as follows:

Step 1: Establish Face Validity

This is a two-step process in which the survey is reviewed by two parties. The first includes someone familiar with the topic, and who has the ability to assess whether or not the questions successfully address the topic.

Therefore, perhaps you could review the attached, post-proposal, revised survey and provide feedback?

Mark

Mark:

I think they're quite good for the intended purpose. The only recommendation I'd make is perhaps some wordsmithing might be in order on #14. I know what you mean but by definition, a change is a disruption to the status quo. Probably a way to ask it more clearly.

Dr. Miller:

Dr. Miller:

How about this change on #14?:

FROM: For me, if some proposed new way of doing something does not interfere with the status quo, I usually do not mind the change.

TO: For me, if some proposed new way of doing something is not too disruptive, I usually do not mind the change.

Mark

Mark:

Sounds like a good revision to me.

Dr. Miller
Dr. Grassberger:

I have attached my short survey instrument.

I'm ready to e-mail this to 24 NMSP, (an actual 10% stratified representation of my actual population, by rank) but wanted to have you look at the statements for 'face validity.' Given your expertise on the matter of surveys, question writing, etc., that is my first order of business. I've had Dr. Miller review from the resident subject expert point of view but also need to have your sage research eyes. He actually did not have any problems with the content but suggested a wise change on question 14, which has been amended accordingly in the instrument attached.

Mark

______________________________________________________________________________

Mark:

Looks good to me. Let's see what they say.

Dr. Grassberger

______________________________________________________________________________
Chief Kassetas:

I hope this letter finds you well and congratulations on your success in leading the New Mexico Department of Public Safety and the New Mexico State Police in a very positive direction.

After a lengthy post-doctoral coursework completion hiatus, I recently and successfully presented my dissertation proposal before my dissertation committee. In short, I am conducting an exploratory case study, designed to explore the research question, "How does a policing executive develop and sustain an ethically performing organization, vis-à-vis the policing power - public trust relationship?" My research is a mixed methods study, wherein I will be conducting interviews with a police chief of a midsize city in the western US. Data obtained from these interviews will be utilized as primary data. In addition however, and as a secondary data source to be used to further explore the research question with the police chief in a subsequent interview, I will be conducting a survey of this chief’s sworn personnel.

This is where I need your assistance. Since I developed the survey instrument, there is a requirement through my dissertation committee and the UNM Office of Institutional Review, that the survey instrument be validated. One of several steps required to validate a survey instrument, is to pilot test it with sworn personnel. To accomplish this, I would like to request your permission to allow me to send the attached pilot survey instrument to twenty-four (24) of your state police sworn personnel. Further, if agreeable, the pilot is deemed more robust if the piloted sample is fairly representative of the study population. Therefore, to the extent possible, the piloted personnel should be according to the following ranks:

- One, at or above the rank of captain
- One lieutenant
- Four sergeants
- Four agents/detectives
- Fourteen

If permitted to proceed, I want to assure you that there will be complete confidentiality and anonymity with regard to all answers to pilot survey statements. This will be accomplished as follows: I will send the survey electronically to the approximate 24 sworn personnel of your choosing, using SurveyMonkey. I will not be requesting any demographic information from your piloted personnel and therefore, their responses cannot be linked to their identities. In other words, their responses are completely anonymized. Further, your personnel are not required, of course, to actually participate in the survey. I also plan to convey to your personnel how confidentiality and anonymity will be ensured, as preface material in the SurveyMonkey instrument.

Should this request be granted, I will only need the e-mail addresses of those selected. I assure you that I will disseminate the survey and accumulate the data exactly as described above. If beneficial on your end, you can likewise assure all selected individuals that you and I will have no conversations or otherwise correspond about the pilot results.
Should you have any questions or concerns, please feel free to contact me.

Mark

______________________________

Mark:

Good to hear from you and congratulations. We would be more than happy to help one of our own. DC. Suggs who I have cc on this e-mail will assign someone from R&D to get you access to the personnel you need. Thanks and good luck.

Pete Kassetas
Chief/Deputy Secretary
New Mexico State Police
Department of Public Safety

Chief Kassetas:

Super...thank you so very much, Chief!

Mark

______________________________

Deputy Chief Suggs:

Following up from Chief Kassetas' reply e-mail this morning, regarding a pilot study I need to put together, please let me know if there is anything else you need. Essentially, I will be incorporating matters related to confidentiality and anonymity for those receiving the pilot study (like the information I included in the earlier e-mail to Chief Kassetas) in order to ensure that all participants understand that anything they contribute will be done so with complete confidentiality and anonymity.

If permissible, just a list of the e-mail addresses for those you select will be all I need along with the total number of e-mail addresses by rank...actually, I would prefer NOT to know what specific e-mail address corresponds to a specific rank.

Thank you very much for the assistance and please contact me should you have any questions or concerns.

Mark
Here You go Mark. Good Luck.

- One, at or above the rank of captain
- One lieutenant
- Four sergeants
- Four agents/detectives
- Fourteen (I’m assuming this was Officers)

[All names and e-mail addresses redacted]

Deputy Chief Suggs

________________________________________

Chief:

Thank you so very much for the excellent and prompt assistance! (sorry for the oversight...yes, the fourteen were officers)

Mark

Greetings fellow NMSP:

I am retired NMSP Major Mark Weaver. I am a doctoral candidate at the University of New Mexico. I am conducting a dissertation study [redacted], with the aim of exploring how a policing executive develops and sustains an ethical performing organization, given the policing power - public trust relationship.

An important part of my research is a survey instrument which I will be sending to all sworn personnel at the organization where I am conducting the study. This is where I need your assistance. As part of my requirement to validate my survey instrument, I need to send my proposed survey to about a 10% representative sample (by rank, of the agency where I am conducting the study) in order to conduct further validation analysis on the survey instrument.

I would very much appreciate your taking a few minutes (the survey should take no longer than 5-10 minutes to complete).

Chief Kassetas graciously agreed to allow me to request NMSP commissioned personnel to assist me in conducting this pilot survey request, and Deputy Chief Suggs provided me with your email addresses in order to send you this participation request and link to the survey instrument. However, it is entirely up to you as to whether you choose to
complete the survey instrument, or choose not to participate. There is neither penalty nor reward for choosing to participate or not.

If you should voluntarily choose to participate, all survey responses will, via SurveyMonkey, be sent automatically, and only, to my SurveyMonkey account. I am not required, nor would I under any circumstance, divulge any of the survey instrument pilot data collected. I will have no discussions with Chief Kassetas or anyone else in the NMDPS organization regarding pilot data collected nor will any identifiable information be contained in the final dissertation study. All submitted survey responses are collected and made available to me in my SurveyMonkey account, anonymously. The SurveyMonkey application will only show me collective response data. It will not link any email address identification to survey data, or in any way reveal the sources of specific data to any survey participant. Further, I am sending this note and SurveyMonkey link to each of you separately, in order to further provide for confidentiality and anonymity.

I hope you will choose to voluntarily participate in this survey pilot study, and will answer survey statements openly and honestly, as it will greatly aid in my ability to conduct data collection and analysis at my actual study site.

Many thanks to you in advance, regardless of your decision to participate or not. Should you have any questions or concerns about participating in this pilot study, you may reach me at [redacted].

Mark Weaver
## APPENDIX D

**Sworn Personnel:**

**Survey Instrument**

1. **The public has trust that our department's officers will conduct themselves ethically.**

<table>
<thead>
<tr>
<th>Strongly Agree</th>
<th>Somewhat Agree</th>
<th>Somewhat Disagree</th>
<th>Strongly Disagree</th>
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<tbody>
<tr>
<td>___</td>
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</table>

2. **Our internal affairs conducts impartial misconduct investigations.**

<table>
<thead>
<tr>
<th>Strongly Agree</th>
<th>Somewhat Agree</th>
<th>Somewhat Disagree</th>
<th>Strongly Disagree</th>
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</table>

3. **Much of what I do in the community has a positive impact on public trust.**

<table>
<thead>
<tr>
<th>Strongly Agree</th>
<th>Somewhat Agree</th>
<th>Somewhat Disagree</th>
<th>Strongly Disagree</th>
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</table>

4. **I believe that performing ethically is the most important part of my job.**

<table>
<thead>
<tr>
<th>Strongly Agree</th>
<th>Somewhat Agree</th>
<th>Somewhat Disagree</th>
<th>Strongly Disagree</th>
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</table>

5. **The culture in our organization has a negative influence on ethical performance.**

<table>
<thead>
<tr>
<th>Strongly Agree</th>
<th>Somewhat Agree</th>
<th>Somewhat Disagree</th>
<th>Strongly Disagree</th>
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</table>
6. Training and development programs in my organization help me to do a better job.

<table>
<thead>
<tr>
<th>Strongly Agree</th>
<th>Somewhat Agree</th>
<th>Somewhat Disagree</th>
<th>Strongly Disagree</th>
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<tr>
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</table>

7. The primary expectation of my chief is that I perform my duties with ethical excellence.

<table>
<thead>
<tr>
<th>Strongly Agree</th>
<th>Somewhat Agree</th>
<th>Somewhat Disagree</th>
<th>Strongly Disagree</th>
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</table>

8. Ethical performance is a primary focus for me in my day-to-day policing activities.

<table>
<thead>
<tr>
<th>Strongly Agree</th>
<th>Somewhat Agree</th>
<th>Somewhat Disagree</th>
<th>Strongly Disagree</th>
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</table>

9. My police chief insists that the entire organization work to support the ethical performance of police officers in the field.

<table>
<thead>
<tr>
<th>Strongly Agree</th>
<th>Somewhat Agree</th>
<th>Somewhat Disagree</th>
<th>Strongly Disagree</th>
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10. Change is constant. I view change as an opportunity for growth...to learn new things.

<table>
<thead>
<tr>
<th>Strongly Agree</th>
<th>Somewhat Agree</th>
<th>Somewhat Disagree</th>
<th>Strongly Disagree</th>
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<tr>
<td>____</td>
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</table>
11. I believe our entire organization's primary mission should be to support ethical performance.

<table>
<thead>
<tr>
<th>Strongly Agree</th>
<th>Somewhat Agree</th>
<th>Somewhat Disagree</th>
<th>Strongly Disagree</th>
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12. The intent to implement a new policy in my organization is well communicated.

<table>
<thead>
<tr>
<th>Strongly Agree</th>
<th>Somewhat Agree</th>
<th>Somewhat Disagree</th>
<th>Strongly Disagree</th>
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13. I have a similar desire to help people now, as I did when I first became a police officer.

<table>
<thead>
<tr>
<th>Strongly Agree</th>
<th>Somewhat Agree</th>
<th>Somewhat Disagree</th>
<th>Strongly Disagree</th>
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14. For me, if some proposed new way of doing something is not disruptive, I usually do not mind the change.

<table>
<thead>
<tr>
<th>Strongly Agree</th>
<th>Somewhat Agree</th>
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<th>Strongly Disagree</th>
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15. The public does not trust our officers to perform ethically.

<table>
<thead>
<tr>
<th>Strongly Agree</th>
<th>Somewhat Agree</th>
<th>Somewhat Disagree</th>
<th>Strongly Disagree</th>
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16. There is a process or program in our organization, to provide officers with training and development, specific to ethics.

<table>
<thead>
<tr>
<th>Strongly Agree</th>
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17. There is not much I can do in my community to increase public trust in the police.

<table>
<thead>
<tr>
<th>Strongly Agree</th>
<th>Somewhat Agree</th>
<th>Somewhat Disagree</th>
<th>Strongly Disagree</th>
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18. Our chief cares about the police officers in our organization.

<table>
<thead>
<tr>
<th>Strongly Agree</th>
<th>Somewhat Agree</th>
<th>Somewhat Disagree</th>
<th>Strongly Disagree</th>
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19. The intent to implement a new policy in my organization follows a predictable process.

<table>
<thead>
<tr>
<th>Strongly Agree</th>
<th>Somewhat Agree</th>
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20. My chief believes our entire organization's primary mission should be to support ethical performance.

<table>
<thead>
<tr>
<th>Strongly Agree</th>
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APPENDIX E

Chief of Police:

Semi-Structured Questions (Interview Two)

1) How do you or how would you develop and sustain and ethical performing organization, vis-à-vis the policing power - public trust relationship?

A. What are some examples of both internal and external enablers that have assisted you or could assist you in accomplishing this in your organization?

B. What are some examples of both internal and external obstacles that have served or could serve to inhibit or restrict your ability to accomplish this in your organization?

2) As the policing executive of your organization, how do you see your role, relative to your organization and your personnel, as it relates to this policing power - public trust relationship?

3) Can you give some examples of how you include the policing power - public trust relationship into your organizational leadership decision making?

4) In policing we have essentially relegated ethical performance to officers in the field. Understandably, we all do in fact demand that they perform ethically; and rightfully so. We also know too, that police officers deal with incredibly challenging emotional events and circumstances that may exceed one's ability to cope well; particularly over time. So how then, does an executive leverage the organization to focus on ethical performance in support of that individual officer in a strategic way?

From Interview #1, Relative to Answers which particularly Compare with or Contrast with Survey Data obtained from Sworn Personnel (Questions asked in Interview One):

- What is your primary expectation of your officers in performing their duties?
- Do you believe that much of what your officers do in their day-to-day activities impacts public trust?
- In what ways does your organizational culture support ethical performance?
- In what ways does your organizational culture negatively influence ethical performance?
- Do you believe that your entire organization works to support the ethical performance of police officers in the field?
- Do you have a process or program in our organization, to provide officers with training and development, specific to ethics?
➢ Do you believe that your entire organization's primary mission should be to support ethical performance?
➢ How do believe your internal affairs functions, in terms of conducting fair and impartial investigations?
REFERENCES


