



# Scenario-Based Executive Level Training (S-BELT) AWR-201

Participant Guide  
August 2009



FEMA |

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## MODULE 1: Introductions

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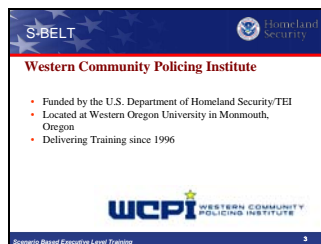


### 1.1: Background: Course Providers, WCPI, and VCPI

This course is sponsored by U.S. Department of Homeland Security/FEMA; and the grant award number is:

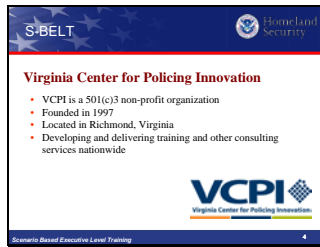
2007 CTGP Award # 2007-GT-T7-K004

The authors of this curriculum are Western Community Policing Institute (WCPI) and the Virginia Center for Policing Innovation (VCPI).



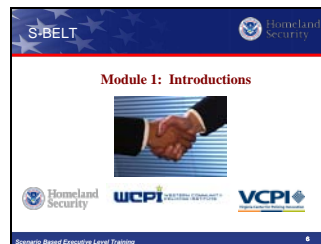
Some background facts about WCPI are as follows:

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

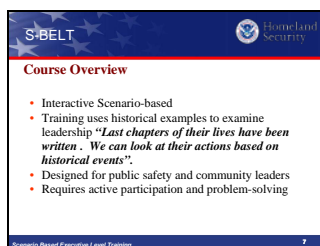


Some background facts about VCPI are:

- VCPI is a 501(c)3 non-profit organization
- Founded in 1997
- Located in Richmond, Virginia
- Developing and delivering training and other consulting services nationwide



## 1.2: Participant Introductions



## 1.3: Course Overview

This course is comprised of six modules. The course is challenge and scenario-based, requiring active participation and problem-solving. Participants will evaluate a pandemic flu case study, and other local case studies, in the context of an executive's leadership approach in planning and preparing for a National or domestic all-hazards events. In each module, participants examine and discuss the need for leadership before and during an all-hazards event. The concluding module provides final summary thoughts regarding identified issues and provides a wrap-up for this course.



## 1.4: Course Goal, Modules, and Objectives

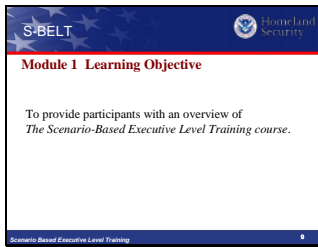
### Course Goal

This course is designed to train and equip executives with the skills necessary to make leadership decisions for the purpose of preparing and planning for homeland security in their community.

### Course Modules

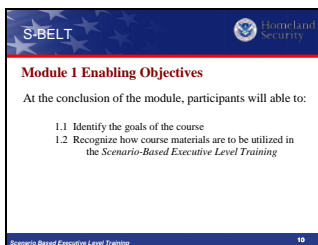
The other modules in this course include:

- Carrying out the Homeland Security Mission: Defining and Understanding Management and Leadership Roles.
- Successfully Integrating and Synchronizing the Homeland Security Mission through Leadership: The Situational Leadership.
- Homeland Security Executive Leadership Skills: The Primal Leaders and Emotional Quotient (EQ).
- Comprehensive Application of Homeland Security Strategies: The Transformational Leader.
- Meeting the Leadership Challenge: Themistocles and Pandemic Flu Case Studies are presented to analyze, compare, and identify the leadership skills needs necessary “to do the right thing, at the right time, in the right way, and for the right reasons.”



### Module 1: Learning Objective (LO)

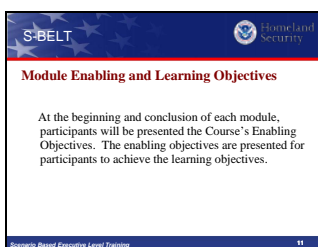
At the conclusion of this module, participants will be provided an overview of the S-BELT course.



### Module 1: Enabling Objectives (EO)

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

- 1.1 Identify the goals of the course
- 1.2 Recognize how course materials are to be utilized in the *Scenario-Based Executive Level Training Course*

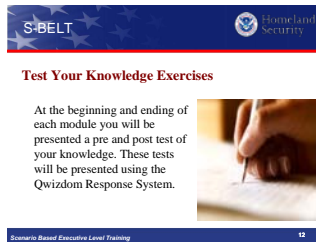


### Module Enabling and Learning Objectives



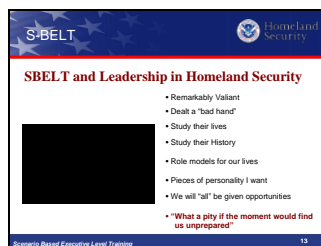
## Enabling Objectives

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



### 1.5: Test Your Knowledge Exercise (Pre/Post Tests)

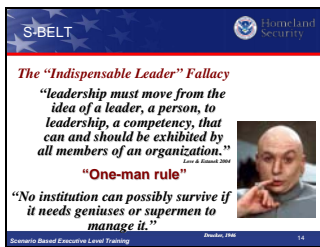
At the beginning and ending of each module you will be presented a pre-test and post-test of your knowledge. These tests will be presented using the Qwizdom Response System. These tests are referred to as Test Your Knowledge Exercises.



### 1.6: S-BELT and Leadership in Homeland Security

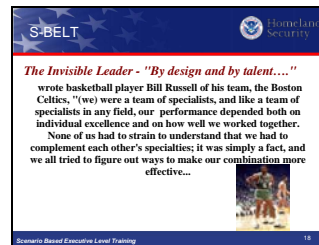
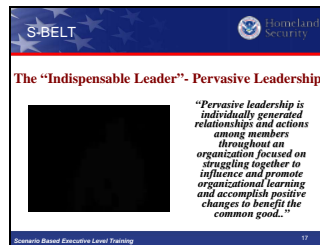
Leaders are presented opportunities in their careers to demonstrate their knowledge, skills, and abilities when faced with challenges. These challenges include homeland security challenges that can range from a natural disaster to terrorist activities. In this course you will be introduced to historical figures, the challenges they faced, and the outcome of their actions. These historical figures were chosen to demonstrate the knowledge, skills, and abilities they employed when facing particular challenges. These historical figures are studied for a variety of reasons (Westfall interview) because they were:

- “Remarkably valiant”
- “Dealt a bad hand”
- “Study their lives”
- “Study their history”
- “Role models for our lives”
- “Pieces of personality I want”
- “We will “all” be given opportunities”
- “What a pity if the moment would find us unprepared”



## The “Indispensable Leader” Fallacy

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



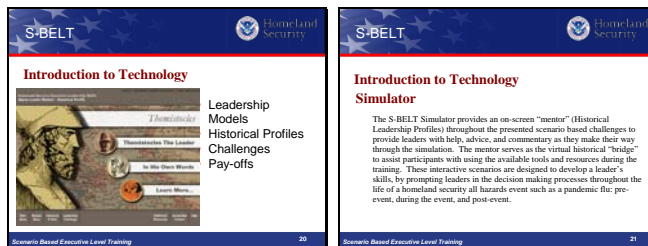
## The Invisible Leader

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



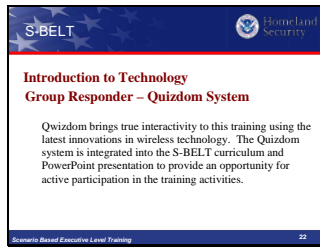
## Four Leadership Profiles

- Joshua Chamberlain
- Winston Churchill
- Maggie Walker
- Themistocles (Combined)



## 1.7: Introduction to Technology

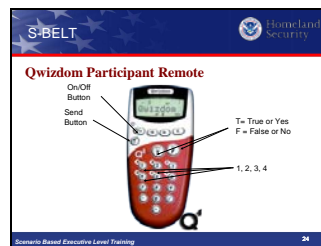
The S-BELT Simulator provides an on-screen “mentor” (Historical Leadership Profiles) throughout the presented scenario based challenges to provide leaders with help, advice, and commentary as they make their way through the simulation. The mentor serves as the virtual historical “bridge” to assist participants with using the available tools and resources during the training. These interactive scenarios are designed to develop a leader’s skills, by prompting leaders in the decision-making processes before and during a homeland security all-hazards event such as a pandemic flu.



## Introduction to Qwizdom/Consensus Decision-Making Exercise

### The Qwizdom Interact System

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



### System Overview

### Qwizdom Components

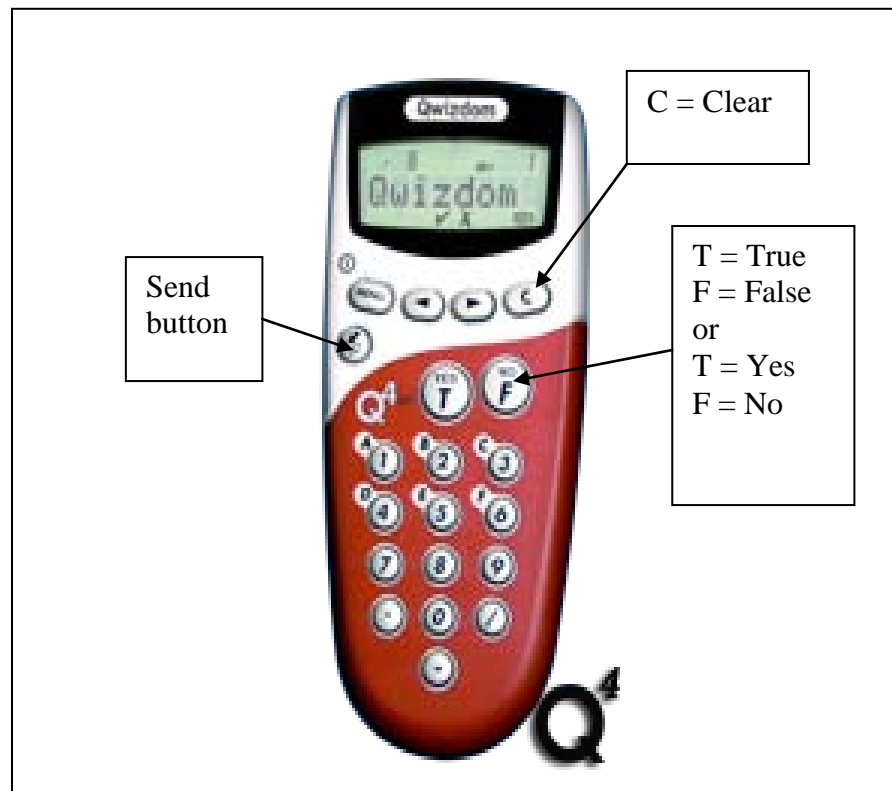
Qwizdom's **Response System** includes a host, which plugs into the instructor's laptop or desktop USB drive, teacher remote, and student remotes. The host transmits a radio frequency which allows communication with the instructor's computer, the teacher remote, and student remote. This RF IEEE standard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

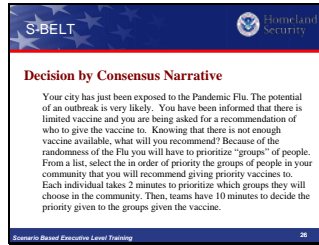
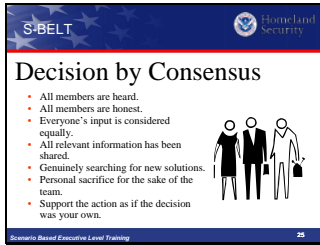
The Qwizdom Participant Remote provides instant feedback to participants.



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

Participant Remote:

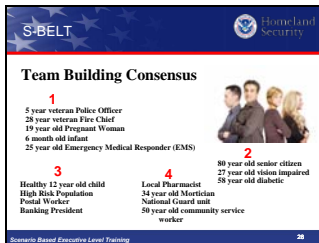
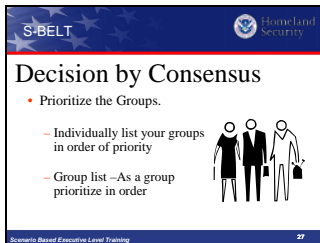




## 1.8: Decision by Consensus

During the course several activities will be presented to the participants. This includes group discussions and decision-making related to these activities. As part of the decision-making process, consensus building will be an important component of the training. As part of the consensus process it is important for participants that:

- All members are heard
- All members are honest
- Everyone's input is considered equally
- All relevant information has been shared
- Genuinely searching for new solutions
- Personal sacrifice for the sake of the team
- Support the action as if the decision was your own



## Activity: Team Building Consensus

**The Story:** Your city has just been exposed to the pandemic flu. The potential of an outbreak is very likely. You have been informed that there is limited vaccine and you are being asked for a recommendation of who to give the vaccine to. Knowing that there is not enough vaccine available, what will you recommend? Because of the randomness of the flu you will have to prioritize “groups” of people. **From a list, select in order of priority, the groups of people in your community that you will recommend giving priority vaccines.** Each individual takes 2 minutes to prioritize which groups they will choose in the community. Then, teams have 10 minutes to decide the priority given to the groups given the vaccine.

**Groups:**

**Group One:**

5 year veteran Police Officer  
28 year veteran Fire Chief  
19 year old Pregnant Woman  
6 month old infant  
25 year old Emergency Medical Responder (EMS)

**Group Two:**

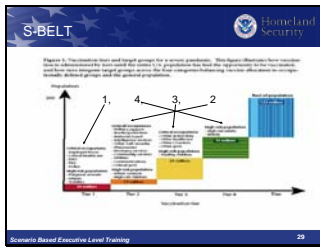
80 year old senior citizen  
27 year old vision impaired  
58 year old diabetic

**Group Three:**

Healthy 12 year old child  
High Risk Population  
Postal Worker  
Banking President

**Group Four:**

Local Pharmacist  
34 year old Mortician  
National Guard unit  
50 year old community service worker



- **What considerations did you make as a group in choosing who you did?**
- **Were there some surprises in your group?**
- **What dynamics took place as your group was working on this activity?**
- **Did anybody refuse to go along with the group? Why? How might the group have done a better job of convincing this person?**

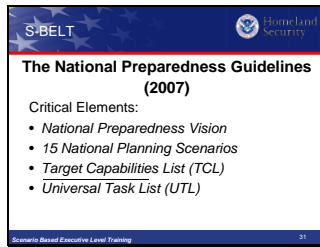


## 1.9: National Preparedness Architecture

**Introduction:** History suggests that when our homeland is confronted with a major natural disaster or terrorist attack, strong leadership is essential for both preparing and responding to an all-hazard event that impacts the community. Real-life examples of major events, which have the potential to impact a community or multiple jurisdictions, are identified in the National Preparedness Guidelines. The occurrence of any of the 15 National Planning Scenarios, such as a pandemic flu outbreak, clearly demonstrates the need for strong leadership to assure homeland security preparedness.

In this section, we will briefly review the National Preparedness Guidelines including the National Preparedness Vision, 15 National Planning Scenarios, Target Capabilities List, and Universal Task List.





## The National Preparedness Guidelines

The National Preparedness Guidelines represents the final step in the Department of Homeland Security's effort to assure preparedness efforts in homeland security. Referred to as The National Preparedness Guidelines package – which, like the National Response Framework, was developed through extensive national consultation – the package is comprised of four critical elements:



## The National Planning Scenarios

The **15 National Planning Scenarios**, which collectively depict a diverse set of high-consequence threat scenarios regarding both potential terrorist attacks and natural disasters. Collectively, these scenarios are designed to focus contingency planning for homeland security preparedness work at all levels of government and with the private sector. The 15 scenarios form the basis for coordinated Federal planning, training, and exercises. That list is comprised of the following major events:

Scenario 1: Nuclear Detonation – 10-Kiloton Improvised Nuclear Device

Scenario 2: Biological Attack – Aerosol Anthrax

Scenario 3: Biological Disease Outbreak – Pandemic Influenza

Scenario 4: Biological Attack – Plague

Scenario 5: Chemical Attack – Blister Agent

Scenario 6: Chemical Attack – Toxic Industrial Chemicals

Scenario 7: Chemical Attack – Nerve Agent

Scenario 8: Chemical Attack – Chlorine Tank Explosion

Scenario 9: Natural Disaster – Earth Quake

Scenario 10: Natural Disaster – Major Hurricane

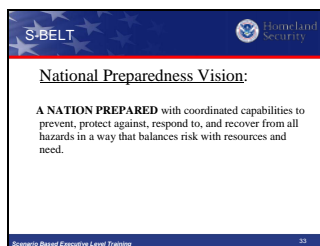
Scenario 11: Radiological Attack – Radiological Dispersal Devices

Scenario 12: Explosives Attack – Bombing Using Improvised Explosive Devices

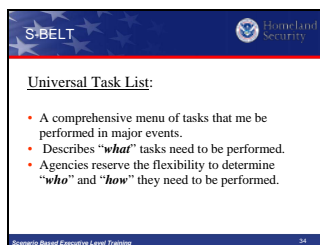
Scenario 13: Biological Attack – Food Contamination

Scenario 14: Biological Attack – Foreign Animal Disease (Foot and Mouth Disease)

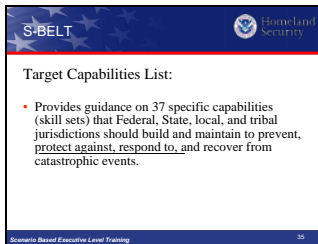
Scenario 15: Cyber Attack



The **National Preparedness Vision**, which provides a concise statement of the core preparedness goal for the nation.



The **Universal Task List**, which is a menu of some 1,600 unique tasks that can facilitate efforts to prevent, protect against, respond to and recover from the major events that are represented by the National Planning Scenarios. It establishes a common vocabulary and identifies key tasks that support development of essential capabilities among organizations at all levels. Of course, no entity will perform every task. Instead, this task list was used to assist in creating the Target Capabilities List. It is included in the *Guidelines* package as a reference for interested jurisdictions.



The **Target Capabilities List**, which defines 37 specific capabilities that communities, the private sector and all levels of government should possess in order to respond effectively to disasters. Federal, state, local, tribal and private stakeholders must exercise leadership skills that allow them to prevent, protect against, respond to, and recover from such major events. Undoubtedly, this requires leaders to develop and maintain the necessary knowledge, skills, and abilities contemplated by the Department of Homeland Security to develop critical capabilities such as personnel, planning, organization and leadership, equipment, training, and exercises, evaluations, and corrective actions (to review the National Planning Scenarios and the TCL go to the Appendix, *National Planning Scenarios*).

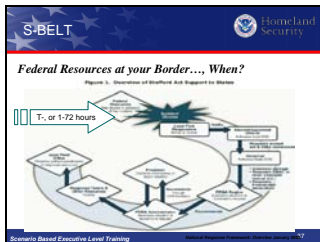
A number of the major events listed in the National Planning Scenarios have confronted and impacted our homeland as real-life occurrences; we have now a better understanding of the need for the development and maintenance of critical capabilities and leadership skills on a local and National level. For the purpose of this training the real-life occurrences of pandemic flu incidents will be used. Pandemic flu outbreaks are listed in Scenario 3 of the National Planning Scenarios: Biological Disease Outbreak – Pandemic Influenza.

A pandemic flu outbreak can be a single natural disaster that can occur within and otherwise impact multiple states, and local jurisdictions within our homeland. We only have to view a few media clips from past outbreaks of pandemic flues to be remind us of the great impact that it can have on the Nation or a region. So let's take a look at one such media clip.

### **Leadership, the Federal Government's role, and the Federal Emergency Management Agency**



## Federal or local leadership required first?



- The Post-Katrina Emergency Reform Act of 2006 amended the Homeland Security Act and the President's Katrina Lessons Learned Report both directed changes to FEMA and DHS' organizational structure and included the realigning of several functions into FEMA. These changes became effective April 1, 2007.
- As the FEMA fact sheet notes, the new organization strengthens FEMA's coordination with other DHS components, as well as agencies and departments outside of DHS. It incorporates the concept of preparedness into all FEMA programs. And, it enhances FEMA's capabilities to partner with emergency management and preparedness organizations and the private sector nationwide. FEMA coordinates the federal government's role in preparing for, preventing, mitigating the effects of, responding to, and recovering from all domestic disasters, whether natural or man-made, including acts of terror (retrieved from: [http://www.fema.gov/media/fact\\_sheets/prep\\_transitions.htm](http://www.fema.gov/media/fact_sheets/prep_transitions.htm))



## Preparedness is Knowing Who to Call First

FEMA coordinates the federal government's role in preparing for, preventing, mitigating the effects of, responding to, and recovering from all domestic disasters, whether natural or man-made, including acts of terror. FEMA has ten regional offices with representatives available to assist state, tribal, and local leaders.



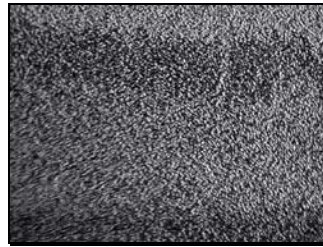
## Lead, Follow, or get out of the way!

As we have just seen, for leaders, when considering their roles in planning and preparing for homeland security in their jurisdiction's the Homeland Security Architecture provides for planning and preparing to address an all-hazards event at the lowest possible level. Additional resources are available as the event escalates. Now let's consider an all-hazards event, a pandemic flu outbreak to put this in context.

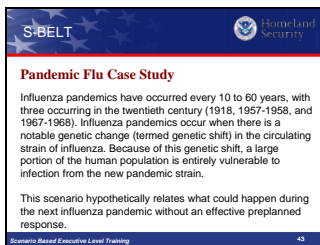
### 1.10: Pandemic Flu Case Study

Now that participants have reviewed the National Preparedness Architecture, participants should consider the case study, Pandemic Influenza Attack (Pandemic Flu). The Pandemic Flu Scenario is used in this training because:

- It was identified by a group of national subject matter experts
- It is the most complex event with multiple consequences
- It is highly un-predictable
- It requires the use of various leadership styles when applying leadership skills and abilities



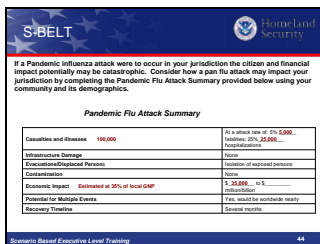
## Video: Pandemic Influenza



## Pandemic Flu Case Study

Influenza pandemics have occurred every 10 to 60 years, with three occurring in the twentieth century (1918, 1957-1958, and 1967-1968). Influenza pandemics occur when there is a notable genetic change (termed genetic shift) in the circulating strain of influenza. Because of this genetic shift, a large portion of the human population is entirely vulnerable to infection from the new pandemic strain.

This scenario hypothetically relates what could happen during the next influenza pandemic without an effective preplanned response.



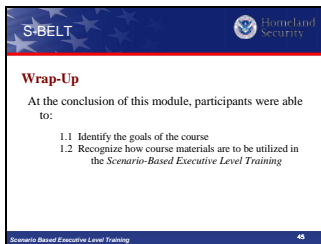
## Jurisdictional Profile Exercise

“If a pandemic flu attack were to occur in your jurisdiction the impact on the citizenry, the function of government, and fiscal solvency could be catastrophic.” Explore how a pandemic flu attack may impact your jurisdiction by completing the Pandemic Flu Attack Summary provided below using your community and its demographics.

**Pandemic Flu Attack Summary**

<b>Casualties and illnesses</b>	At a attack <u>rate</u> of: _____ 5% fatalities; _____ 25% hospitalizations
<b>Infrastructure Damage</b>	None
<b>Evacuations/Displaced Persons</b>	Isolation of exposed persons
<b>Contamination</b>	None
<b>Economic Impact</b>	\$_____ to \$_____ million/billion
<b>Potential for Multiple Events</b>	Yes, would be worldwide nearly
<b>Recovery Timeline</b>	Several months

**1.11: Module 1 Wrap-Up**



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

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

- 1.1 Identify the goals of the course
- 1.2 Recognize how course materials are to be utilized in the *Scenario-Based Executive Level Training Course*

## Module 2: Carrying Out the Homeland Security Mission: Defining and Understanding Management and Leadership Roles

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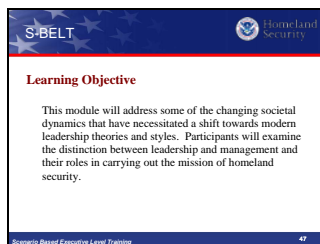


**What is homeland security leadership?**

**So, how many distinct definitions do we have?**

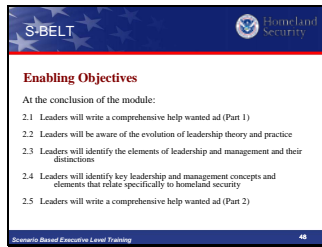
### Overview

Most homeland security leaders and practitioners would likely agree that leadership and management are vital for effective homeland security operations. Definitions of key terms (such as leadership and management) are generally considered subjective and fluid concepts. This module will set the stage for participants to discuss and come to a consensus about homeland security leadership and what it constitutes. In order to do this, the module will focus on three components that are fundamental to the discussion of homeland security leadership: the concept of leadership, the practice of management, and the reality of the knowledge worker.



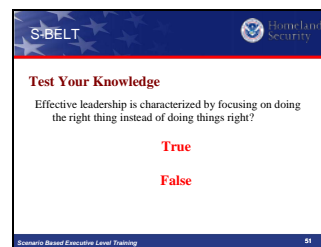
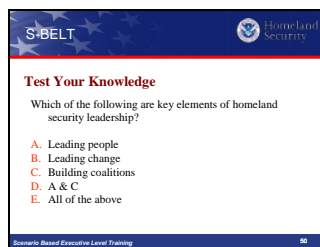
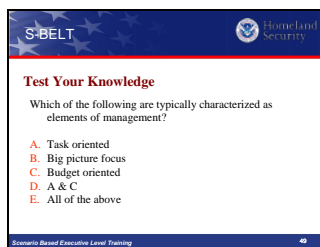
**Learning Objective:** This module will address some of the changing societal dynamics that have necessitated a shift towards modern leadership theories and styles.



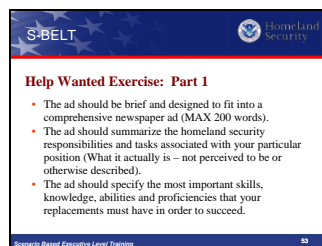


**Enabling Objectives:** At the conclusion of this module, participants will be able to:

- 2.1 Write a comprehensive Help Wanted Ad (Part 1)
- 2.2 Discuss the evolution of leadership theory and practice
- 2.3 Identify the elements of leadership and management and their distinctions
- 2.4 Identify the four dimensions of leadership and management that relate specifically to homeland security
- 2.5 Write a comprehensive Help Wanted Ad (Part 2)



## Test Your Knowledge



### 2.1: Help Wanted Ad Exercise Part 1

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

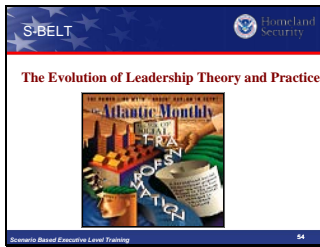
- **What is your job title?**
- **Does your title truly capture what you do for a living?**
- **Can you describe what you do in a single sentence?**
- **If asked to, would you be able to write a Help Wanted Ad to find your own replacement?**
- **What would you put in it?**

The intent of this exercise is to allow participants an opportunity to evaluate their own knowledge, skills, and abilities (KSA's) as these KSA's relate to your individual roles during an all-hazards event. The process involves creating a "help wanted advertisement" to replace you in the unfortunate circumstance that you vacate your position just prior to or during an all-hazards event. The basis for the help wanted ad is your position description and a listing of your current job duties. This exercise also prompts participants to consider their own assessment of the KSA's needed to replace themselves. The help wanted ad is intended to be a vehicle for participants to consider their current KSA's, add KSA's needed to fulfill the duties of the position, and additional KSA's that are identified through the presentations contained in this module.

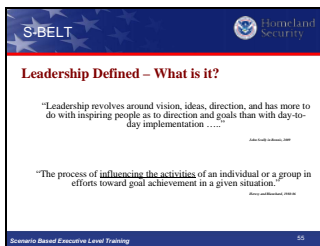
- The ad should be brief and designed to fit into a comprehensive newspaper ad (MAX 200 words).
- The ad should summarize the homeland security responsibilities and tasks associated with their particular position (what it actually is – not what it is perceived to be or otherwise described).
- The ad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

#### **Discussion questions:**

- **Was it difficult to capture what you do as a homeland security leader?**
- **How diverse are your responsibilities?**
- **Were you at all surprised by what you wrote?**
- **How much of their Help Wanted Ad draft was comprised of leadership tasks skills and responsibilities, and how much were management related?**
- **Does it matter?**
- **What is the difference between leadership and management?**
- **What kind of worker would you consider yourself: laborer, practitioner, or knowledge based worker?**
- **How would your job have been different 10, 20,100 years ago?**



## 2.2: The Evolution of Leadership Theory and Practice



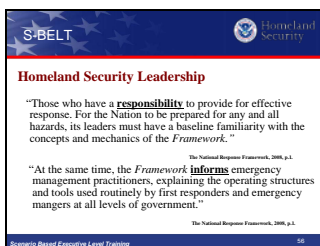
### Leadership Defined

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

*John Scully in Bennis, 2009*

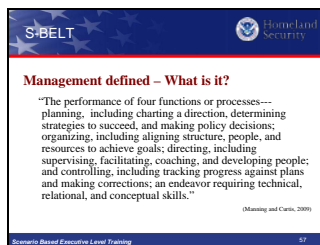
- “The process of influencing the activities of an individual or a group in efforts toward goal achievement in a given situation.”

*Hershey and Blanchard, 1988:86*



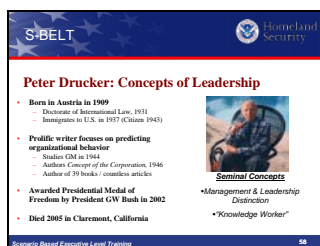
## Homeland Security Leadership

- “Those who have a **responsibility** to provide for effective response. For the Nation to be prepared for any and all hazards, its leaders must have a baseline familiarity with the concepts and mechanics of the *Framework*.”  
The National Response Framework, 2008, p.1.
- “At the same time, the *Framework* **informs** emergency management practitioners, explaining the operating structures and tools used routinely by first responders and emergency managers at all levels of government.”  
The National Response Framework, 2008, p.1.



## Management Defined

“The performance of four functions or processes - planning, including charting a direction, determining strategies to succeed, and making policy decisions; organizing, including aligning structure, people, and resources to achieve goals; directing, including supervising, facilitating, coaching, and developing people; and controlling, including tracking progress against plans and making corrections; an endeavor requiring technical, relational, and conceptual skills.”  
(Manning and Curtis, 2009)



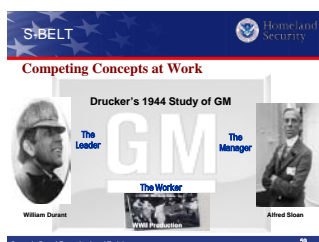
## Peter Drucker: Concepts of Leadership

- Peter Drucker has often been described as “one of the most influential minds”, if not the “most influential” mind on the “art” of leadership over the past half century. He was well known for his ability to look at complex

organizations, regardless of their mission, and evaluate their functionality and provide insights for their future prospects.

- Drucker, an Austrian, who went to England briefly, migrated to the United States in 1937. Given his deep roots in Austria, the move to the United States would have been a very difficult decision. What is remarkable is that by 1944, he had become so well known for his insights into organizations, that he was invited by General Motors to do a study of the company. General Motors was probably the most respected and revered corporation of its time, led by Alfred P. Sloan who was seen by many as the prototype CEO.
- Some highlights of Drucker's life:
  - Born in Austria in 1909
    - Doctorate of International Law, 1931
    - Immigrates to U.S. in 1937 (Citizen 1943)
  - Prolific writer focuses on predicting organizational behavior
    - Studies G.M. in 1944
    - Author, *Concept of the Corporation*, 1946
    - Author of 39 books/numerous articles
  - Awarded Presidential Medal of Freedom by President G.W. Bush in 2002
  - Died 2005 in Claremont, California
- Drucker's concept of the "Knowledge Worker" in 1959
- Drucker's distinction between leadership and management that he cultivated throughout his career

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



## Competing Concepts at Work

By the 1940's Peter Drucker had earned a reputation for his work studying and writing about large organizations. In 1944 Drucker was invited by G.M. to study its internal workings in hopes of capturing and detailing the essence that had made G.M. one of the most successful corporations on earth. While conducting his study, Drucker was given unfettered access to G.M. and its data. Drucker's extensive research and analysis of G.M. would culminate in 1946 with the publication of one of Drucker's most influential works, *Concept of the Corporation*.

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

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

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

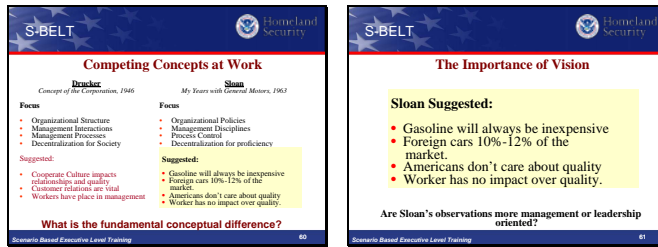
Billy Durant was probably one of the true entrepreneurial geniuses of the 20th century. He was deeply vested and initially made his fortune in the carriage business when he watched first hand, Henry Ford "democratize the automobile." There were a number of auto manufacturers at the turn of the century,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

Billy Durant that if he wanted to survive in the transportation business, he needed to forgo carriages and consider automobiles.

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

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

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



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

In his work, Drucker focused on the following:

- Organizational structure
- Management interactions
- Management processes

Drucker suggested:

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

In contrast, Alfred P. Sloan focused on:

- Organizational policies
- Management disciplines
- Process control

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

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



### Discussion Questions:

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

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

### **Exercise: The Sloans, Druckers, and Durants in Your Organizations**

**What would you do with an Alfred Sloan, Billy Durant, and Peter Drucker to help your organization fulfill its homeland security missions?**

Select a primary homeland security mission of one of the members of your group (first responder: fire/police/rescue/other, interdiction/investigation, public health, planning & logistics, supply, etc.). Using that particular organization, identify a specific position that you would consider the most appropriate for Drucker, Sloan, and Durant. Your group's assignment of these figures should be designed to make the most use of each of these individual's unique and invaluable talents. Select a spokesperson for the group that will be able to briefly explain your group's choices of assignment for Drucker, Durant, and Sloan.

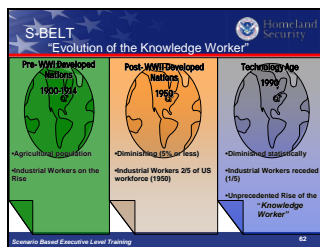
*Example: Westview, NY Fire Department hypothetical assignments:*

- *Alfred Sloan-Fire Marshall*  
*Justification for assignment: Sloan was detail orientated and able to develop effective processes and controls that would be most useful in managing the fire Marshall's office because.....*
- *Billy Durant-Chief Logistics Officer*  
*Justification for assignment: Durant's unique ability to forecast the needs of customers would allow.....*

- *Peter Drucker-Safety Officer*  
*Justification for assignment: Drucker was the kind of person who was analytical and insightful. These are the qualities that best suit this leadership position because.....*

### Homeland Security Leadership Application:

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



### Evolution of the Knowledge Worker

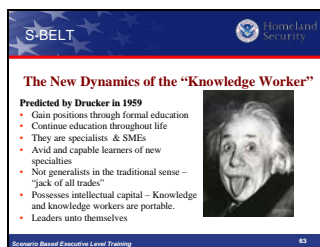
With the rise of the industrial worker, what is known as transactional management became complicated. Working with machinery and assembly lines was not as simple as working as an agricultural laborer. Some training was necessary but in general many industrial workers were still interchangeable and relatively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

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

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

**Homeland Security Leadership Application:** It is vital for today's homeland security leaders and decision makers to grasp the historical concepts that led to the evolution of leadership and management and how both are practiced today. Especially worthy to note is the role that technology, its hastened development as a result of W.W. I and W.W.II and changing the dynamics of the relationship between management and leadership and the worker. The potential certainly exists for exponential technological advancements to influence the dynamics of modern homeland security leadership.

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



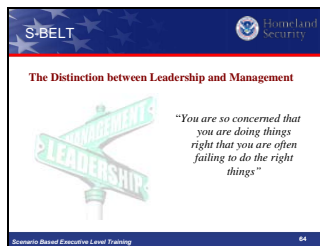
Drucker characterizes knowledge workers as unique because they tend to possess the following unprecedented combination of qualities:

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

### Discussion Questions:

- Do you agree with Peter Drucker's assessment?
- Are knowledge workers an issue for organizations responsible for homeland security mission implementation? How?
- Can transactional management work in light of these changes?

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



### 2.3: The Distinction between Leadership and Management

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

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

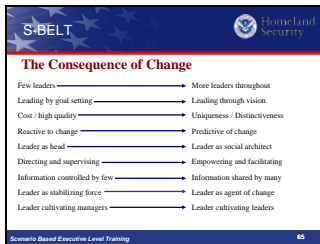
Peter Drucker

### Discussion questions:

- Does Drucker's reported statement made more than three decades ago, still apply today?

- Is it relevant in homeland security? Does it have specific applications to a pandemic flu outbreak? How/why?
- Does this statement capture the distinctions between leadership and management? How?

**Homeland Security Leadership Application:** The implications of “doing things right” as opposed to “doing the right things” are potentially immeasurable when it comes to homeland security and more specifically in dealing with a pandemic flu outbreak. Effective leadership and decision-making will require homeland security practitioners to adhere to the established and procedural guidelines, while actively gauging the “big picture” of an event.

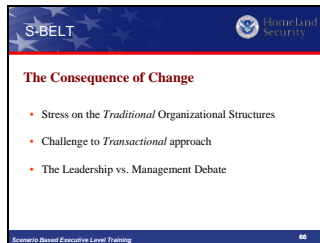


### The Distinction between Leadership and Management

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

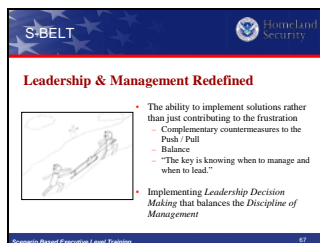
(Adapted from: *Likely Model of Twenty-First –Century Leadership*)

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



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

**Homeland Security Leadership Application:** The dynamics described as the consequences of change may be present in most types of public and private sector organizations – including those involved in homeland security functions and direct operations.



## Leadership and Management Redefined

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

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

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

**Homeland Security Leadership Application:** Tension between leadership and management forces in homeland security organizations could be a source of operational inefficiency. Homeland security leaders and decision makers may apply the principles described in this section to their own organizations in order to ensure that the “tension” does not compromise the organization’s mission and/or their own effectiveness as leaders.



## 2.4: The Four Dimensions of the Leadership Test ©

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

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

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

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

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

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

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

### **The Fourth Dimension: For the Right Reason?**

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

### **Leadership Test ©**

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

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



decision-making process to improve both the management and leadership aspects of the decision-making process.

**The Leadership Test © asks:**

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

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

**Homeland Security Leadership Application:** The Leadership Test © provides homeland security leaders and decision makers with a “take home tool” in terms of an easy to understand and use decision-making process that is amiable to each leader’s specific needs.

### **Leadership Test © Exercise: Pan Flu Outbreak**

Instructions: Please read the summary of events related to a pan flu outbreak. Discuss the scenario and the merits of the plans prepared and described below.

#### **Scenario Events**

September 3<sup>rd</sup> – The novel H5N1 strain begins to spread rapidly in several Asian countries with increased and sustained person-to-person transmission. Because of this, the World Health Organization (WHO) officially declares the onset of a flu pandemic.

September 10<sup>th</sup> – The U.S. Center for Disease Control and Prevention (CDC) informs state health departments (SHD) that limited quantities of vaccine will be distributed through the Strategic National Stockpile (SNS). This emergency supply will be provided to each SHD for selective distribution intended to support the operations of critical organizations. Additional vaccine for general population use is expected by February.

September 17<sup>th</sup> – You are advised by your SHD that your organization’s continuity of operations during a pandemic has been deemed critical. As a result you will be assigned a limited number of vaccine doses for distribution to essential personnel. The state has also indicated that in light of absenteeism concerns, you are authorized to include family members of essential personnel in your vaccine delivery, but this option will not change your assigned quantity of doses. It is your responsibility to decide on a distribution strategy, design a plan, and submit it to the SHD by September 30<sup>th</sup>.

September 27<sup>th</sup> – At your direction, your staff has prepared two comprehensive plans that meet or exceed all the requirements of the state mandate. The plans have both been deemed operationally valid and will ensure your organization’s continuity of operations. The plans do have the following significant differences:


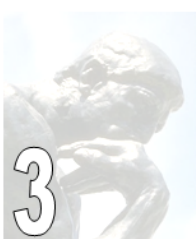
**Plan A:**

Plan A designates nearly 75% of your organization as “Essential Personnel” even though only 35% of them are needed for minimum operational efficiency. The plan is considered a good option because it more than doubles the number of personnel that will be able to continue to work during a pandemic flu outbreak. This may result in better continuation of operations. This plan does not provide for any vaccination of family members of the essential personnel.

**Plan B:**

Plan B designates approximately 37% of your organization as “Essential Personnel” which is slightly more than the 35% needed for minimum operational efficiency standards. The plan is a considered a good option because it also allows for the vaccination of nearly all the spouses and minor children of essential personnel – those that will continue to work during a pandemic flu outbreak. This may result better continuation of operations by reducing absenteeism.





**Leadership Test © Exercise: Leadership Decision Point**

<b>Right Thing?</b>	<b>Right Time?</b>	<b>Right Way?</b>	<b>Right Reason?</b>
<ul style="list-style-type: none"><li>• Belief System</li><li>• Value Driven</li></ul>	<ul style="list-style-type: none"><li>• Hesitation</li><li>• Impulsiveness</li><li>• Opportunity</li></ul>	<ul style="list-style-type: none"><li>• Demeanor</li><li>• Approach</li><li>• Conduct</li></ul>	<ul style="list-style-type: none"><li>• Incentive</li><li>• Motivation</li><li>• Cause</li></ul>
			

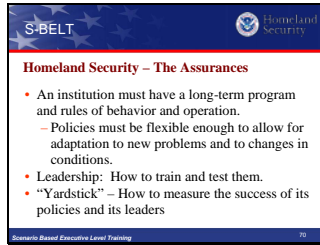
### Leadership Decision Point

With the deadline looming you must choose one of the vaccination plans prepared by your staff. For the purposes of this exercise, neither of the plans may be altered or combined and you must select one to implement.

Although you will be asked to briefly explain the reason(s) for choosing one plan over the other, the focus of this exercise will be your ability to use the four dimensions of the Leadership Test © in articulating your decision. Some questions to consider may include:

Right Thing?	Right Time?	Right Way?	Right Reason?
<ul style="list-style-type: none"> <li>• Why was this the right thing to do?</li> <li>• Does it meet the needs of my organization? Community? Team?</li> <li>• Is this decision purpose driven and consistent with my values? Mission?</li> </ul>  <p>1</p>	<ul style="list-style-type: none"> <li>• Given the time frame, is this the best decision I can make now?</li> <li>• Are there other time issues or considerations?</li> <li>• What happens if I hesitate or act to quickly?</li> </ul>  <p>2</p>	<ul style="list-style-type: none"> <li>• How will I implement this?</li> <li>• What can I do to maximize positive impact while minimizing negative impact?</li> <li>• How can I get buy in?</li> </ul>  <p>3</p>	<ul style="list-style-type: none"> <li>• Why did I choose this option?</li> <li>• What was my motivation?</li> <li>• Will my motivation allow for transparency?</li> </ul>  <p>4</p>

**Homeland Security Leadership Application:** The Leadership Test © exercise, although entirely fictional and limited in scope, allows homeland security professionals to practice utilizing a leadership decision-making process in addressing a pandemic flu scenario. Additionally, the exercise seeks to impress upon homeland security leaders the importance of being able to effectively articulate the difficult choices that they may have to make in a pandemic flu outbreak or similar critical incident.



## 2.5: The Dynamics of Homeland Security Leadership

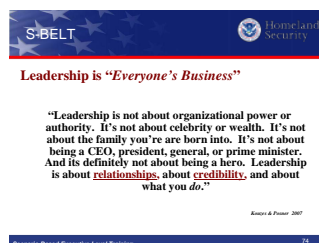
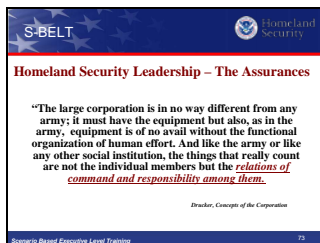
**Homeland Security Leadership Application:** Effective leadership is a critical component of homeland security at every level of both the public and private sectors. Through effective leadership that incorporates sound management practices, individuals can help create a culture of preparedness and proficiency that is absolutely vital to our nation’s security and ability to respond to hazards.



### Discussion Questions:

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

**Homeland Security Leadership Application:** This section identifies specific technical proficiencies and specialized knowledge that are needed for, homeland security leaders and decision makers.



**Prevent & Protect:** These are essentially functions of leadership and traditional risk management. In that sense these two mission areas are dependant on the ability to see the big picture, share your vision with others, and creatively develop and implement effective countermeasures. Although management certainly plays a significant part in these mission areas – they require leadership in order to be accomplished.

- Risk assessment process
- Countermeasure implementation
- Creative process that depends on technical know how and proficiency
- Leadership functions based on sound management practices

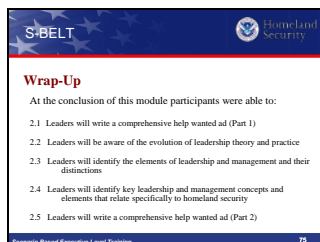
**Respond & Recover:** These mission areas are essentially functions of management and technical efficiency. At the point that emergency response is required, effectiveness is heavily dependant on resource management, training, and plan execution. Although these management functions are prominent, there is absolutely no doubt that emergency response and recovery efforts are also dependant of strong leadership as has been evidenced by numerous critical incidents such as the attacks of September 11, 2001.

- Emergency management process
- Resource allocation
- Technical process with need for quick thinking and creative solutions
- Management function with strong opportunity for leadership

**What do you believe it takes to be an effective homeland security leader?**

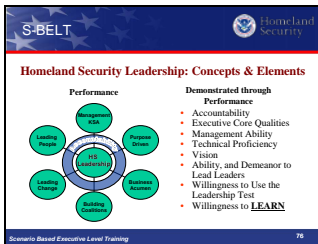
### **Homeland Security Leadership Application:**

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



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

- Write a comprehensive Help Wanted Ad (Part 1)
- Discuss the evolution of leadership theory and practice
- Identify the elements of leadership and management and their distinctions
- Identify the four dimensions of leadership and management that relate specifically to homeland security
- Write a comprehensive Help Wanted Ad (Part 2)



**2.7: Homeland Security Leadership: Concepts and Elements**

<p><b>Test Your Knowledge</b></p> <p>Which of the following are typically characterized as elements of management?</p> <p>A. Task oriented B. Big picture focus C. Budget oriented D. A &amp; C E. All of the above</p>	<p><b>Test Your Knowledge</b></p> <p>Which of the following are key elements of homeland security leadership?</p> <p>A. Leading people B. Leading change C. Building coalitions D. A &amp; C E. All of the above</p>	<p><b>Test Your Knowledge</b></p> <p>Effective leadership is characterized by focusing on doing the right thing instead of doing things right?</p> <p><b>True</b></p> <p><b>False</b></p>
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**2.8 Test Your Knowledge Exercise (Pre/Post Tests)**

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

Now that participants have considered the distinction between leadership and management, now reconsider your Help Wanted Ad.

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

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### Overview

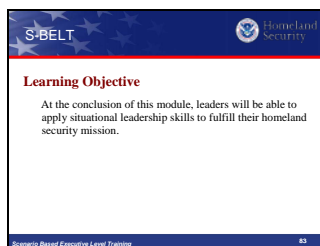
This module will present participants with the role situational leaders' play in effectively applying homeland security mission strategies in addressing all-hazards events. In considering the role of situational leaders, focus will be on the premise that by utilizing the appropriate skills, leaders have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

Key procedural aspects of situational leadership involves developing a strong set of skills in communication, fostering vision, and building organizational infrastructure as well as inspiring action. Additionally, situational leadership requires leaders to be constantly evaluating two tenets of situational leadership. These tenets are expressed as the following two questions:

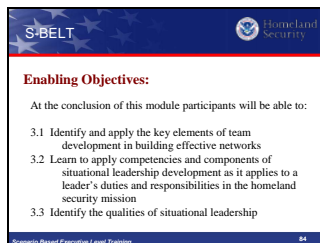
- **What do my people need?**
- **How can I best lead them?**

Situational leadership will be stressed in this module as it applies to the mission of homeland security in overarching an all-hazards approach.

This module will include the consideration of Colonel Joshua Chamberlain as a historical example of situational leadership. The example of Chamberlain's success at the Battle of Little Round Top during the United States Civil War will be used to illustrate the power of situational leadership in motivating followers into performance. Colonel Chamberlain's accomplishments and leadership tactics will be explored as a template for today's homeland security leaders and decision makers. Participants will be asked to identify, and will be provided with examples of current day homeland security leaders that exemplify successful situational leadership. The lesson will seek to emphasize that effective leadership can and often will overcome a multitude of challenges.



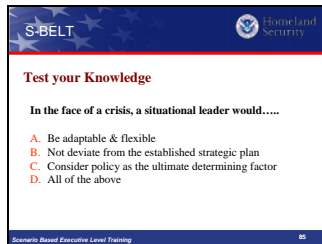
**Learning Objective:** At the conclusion of this module, leaders will be able to apply situational leadership skills to fulfill their homeland security mission.



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

- 3.1 Identify and apply the key elements of team development in building effective networks
- 3.2 Learn to apply competencies and components of situational leadership development as it applies to a leader's duties and responsibilities in the homeland security mission
- 3.3 Identify the qualities of situational leadership
- 3.4 Wrap-up





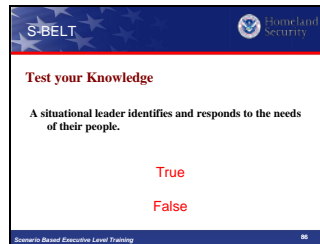
S-BELT Homeland Security

**Test your Knowledge**

In the face of a crisis, a situational leader would.....

- A. Be adaptable & flexible
- B. Not deviate from the established strategic plan
- C. Consider policy as the ultimate determining factor
- D. All of the above

Scenario Based Executive Level Training 85



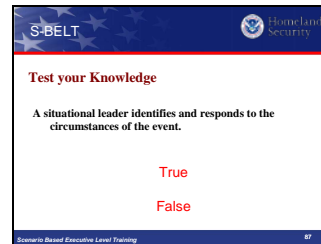
S-BELT Homeland Security

**Test your Knowledge**

A situational leader identifies and responds to the needs of their people.

True  
False

Scenario Based Executive Level Training 86



S-BELT Homeland Security

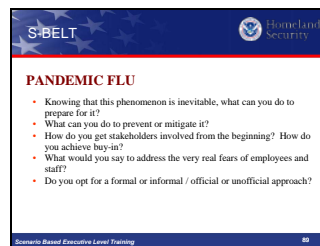
**Test your Knowledge**

A situational leader identifies and responds to the circumstances of the event.

True  
False

Scenario Based Executive Level Training 87

## Test Your Knowledge



S-BELT Homeland Security

**PANDEMIC FLU**

- Knowing that this phenomenon is inevitable, what can you do to prepare for it?
- What can you do to prevent or mitigate it?
- How do you get stakeholders involved from the beginning? How do you achieve buy-in?
- What would you say to address the very real fears of employees and staff?
- Do you opt for a formal or informal / official or unofficial approach?

Scenario Based Executive Level Training 88

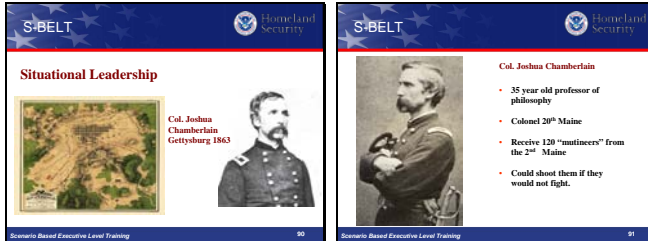
## Pandemic Flu Challenge

**What are the specific issues described in the pandemic flu scenario?**

- **Knowing that this phenomenon is inevitable, what can you do to prepare for it?**
- **What can you do to prevent or mitigate it?**
- **How do you get stakeholders involved from the beginning? How do you achieve buy-in?**
- **What would you say to address the very real fears of employees and staff?**
- **Do you opt for a formal or informal/official or unofficial approach?**
- **What is the fundamental issue in this challenge portion of the scenario?**
- **What issues will you have to focus on as leaders?**
- **What are some steps you may take in the mission areas of Prevention and Protection?**

**Application to Homeland Security Leadership:** The pandemic flu vignette is designed to introduce the class participants to the real issues of mass absenteeism that are a significant threat to operations of public and private sector agencies involved in homeland security.

### 3.1: Situational Leadership



**How many of you are familiar with Gettysburg?**

#### Gettysburg Overview

In the spring of 1863, the Confederate Army of nearly 70,000, led by General Robert E. Lee crossed the Potomac River into Union territory. Their objective was to lure the Union Army, known as the Army of the Potomac, into the open where it could, once and for all, be destroyed. In late June of 1863, the 80,000 member Union Army yielded to the temptation and moved across the narrow farming roads of Maryland into Pennsylvania in pursuit of the Confederates.

It is interesting to note that General Lee was informed that a letter had been prepared by the leadership of the Confederate government offering a peaceful settlement of the war; this would have split the nation geographically and philosophically into independent North and South. The letter was to be placed on the desk of Abraham Lincoln, the President of the United States, the day after Lee had destroyed the Army of the Potomac somewhere north of Washington. The location of what the Confederate leadership had anticipated as the final showdown was Gettysburg, Pennsylvania and would eventually be chronicled and referred to as the Battle of Gettysburg. The battle, which proved to be decisive to the Civil War, occurred on July 1, 1863.

#### Joshua Chamberlain Overview

Moving with the Army of the Potomac is a 34 year old professor of philosophy from Bowdoin College in Brunswick, Maine, Joshua Lawrence Chamberlain. Chamberlain was born on September 8, 1828, in Brewer, Maine. Chamberlain's mother had wanted him to be a theologian, while his father had favored a military career for him. As it turned out they both got their wish. Having been elected professor of rhetoric and oratory in 1856 at Bowdoin College he was well suited and prepared for the appointment.

When the Civil War erupted, Chamberlain's initial response was not to join in the fight although he felt a strong and patriotic urge to serve. He had previously passed on an appointment to West Point, thinking that there would be little challenge in a peacetime army. Chamberlain did not believe that the upstart Southern Confederacy had either the industrial base or the population to fight a sustained war. He thought it would amount to a minor insurrection that would be suppressed in a matter of days or at the most weeks. To Chamberlain's unpleasant surprise, he watched for a year as many of the young men he had tutored and mentored at Bowdoin College came home horribly wounded while others simply did not return at all. Chamberlain eventually recognized that this was not only going to be a protracted war, but a war that threatened the very existence of the Union that he felt so strongly about.

Much to the chagrin of his wife, who enjoyed the college life, Chamberlain volunteered his services to the military. Recognizing his academic credentials, the army offered him the rank of colonel and wanted to commission him to command a full regiment. Instead of accepting the honor of regimental command, Chamberlain is reported to have asked, "Would it not be better that I learn something of warfare before I lead men into battle?"

Refusing the regimental command, he took a staffing role under a Colonel by the name of Adelbert Ames, a West Point graduate and a career soldier who had distinguished himself at the first Battle of Bull Run (Manassas as it is known in the South). Chamberlain worked with and was schooled by Ames for nearly a year when Ames was then promoted and Chamberlain given command of the 20th Maine Regiment, that after a year of battle numbered only 250 men.

Over the next two years, Chamberlain would serve in more than 20 engagements, be wounded six times, have horses shot from beneath him five times and eventually finish his service brevetted (promoted in rank but not pay) to the rank of United States Army Major General. After the concluding engagement of the Civil War, Chamberlain is chosen by General Grant to receive the colors of the Confederacy (a rare privilege normally only given to career soldiers). Grant had received directions from President Lincoln, "...to let them up easy." Those words were translated to Chamberlain that there should be no fanfare, no cannonade, no "Hurrahs." In following these orders, Chamberlain and 45,000 Union soldiers greeted the Confederate troops with a salute, not to recognize their cause but in a show of respect for former adversaries' sacrifice and commitment. General Gordon, commanding the Confederate forces, returned the salute and in his subsequent speeches and memoirs he would refer to Chamberlain as "one of the knightliest soldiers of the Union Army."

In his latter years, Chamberlain received a letter from a Confederate soldier who fought at Gettysburg and opposed Chamberlain's forces. He informed him, "Twice at Little Round Top I had you in my sights and could have easily killed you. But for some

inexplicable reason, I could not pull the trigger.” Now many years later, having had the opportunity to evaluate Chamberlain’s life and contributions, he concluded, “And I’m so glad that I didn’t, I’m so glad that I didn’t.”

Chamberlain finished out a life in academia, serving as the President of Bowdoin College, ran unopposed four times as Governor of Maine and enjoyed a successful business career as well. Joshua Lawrence Chamberlain would survive his wife Fanny who died October 18, 1905. Chamberlain passed away on February 24th, 1914 at the age of 86 having succumbed to the war wound that he received at a battle in Petersburg, Virginia and suffered with for so many years.

**Application to Homeland Security:** The dilemma that Chamberlain faced is not that different from the likelihood of employee absenteeism or desertion during a pandemic flu outbreak or other critical incidents. Familiarity with the actions that Chamberlain took and the long term ramification of his decisions offer homeland security leaders the opportunity to gain insight into the challenges that they may face during a pandemic flu outbreak.



## Joshua Chamberlain – Situational Leadership Historic Profile

### **Chamberlain’s Dilemma**

Approaching the battle of Gettysburg, Colonel Joshua Chamberlain, was now the commander of the 20th Maine. Chamberlain was within a day's march of what we now know as the Battle of Gettysburg and realized that he and his men would soon be engaged in a significant battle that could turn the tide of the war. His ranks had been depleted from 1,000 men to approximately 250. Badly needing additional manpower he was notified that would receive 120 soldiers of the former 2nd Maine; a unit that had been recently been disbanded. However the manner in which he was to receive them was not going to be very helpful, it was actually troubling.

The 120 soldiers of the 2nd Maine that were delivered to Chamberlain were received as prisoners of war. These men had signed an enlistment for three years while the others of the 2nd Maine (that were recently released) had only enlisted for two years. When their comrades left to return home, the remaining 120, many of whom thought that they had enlisted to only fight with the 2nd Maine, refused to fight and wanted to go home.

Chamberlain received the men of the 2nd Maine under guard with very clear and specific orders. Chamberlain was told to take custody of the 120 as prisoners and if they refuse to fight, he has full authority to shoot each and every mutinous soldier. Chamberlain quickly realized that it would take a sizeable number of his own men to just hold the group prisoner – men he could not spare. He also recognized that these 120 prisoners were experienced soldiers that had been through 11 major engagements. Most were proud, independent men who were farmers, loggers, or fishermen from the coast of Maine. Like most other military units of the Civil War era, the 2nd Maine was raised from a common locality and made up of men that had grown up together, attended schools together, worked and harvested crops together, and were committed to fighting and either dying or returning home together. Instead, the 2nd Main was divided; some went home while the others were expected to fight with strangers. Chamberlain surmised that most of these men had laid down their arms and refused to fight for just that reason. The Union Army refused to feed them and they were delivered to Chamberlain under armed guard.

Chamberlain faced the following dilemma: he neither could spare the men to guard the newly acquired prisoners. Nor could he in good conscience have these soldiers executed. Furthermore, Chamberlain knew he was about to be engaged in combat that could determine the fate of the entire war. Chamberlain knew that he needed the men of the 2nd Maine, every single one of them to fight with his unit. Chamberlain knew that if he could convince them to fight he would increase his ranks by as much as half. The question was how was he going to quickly inspire these men who had been held against their will, ostracized, and not fed, to fight? What would you say to them? What would you do?

### **Chamberlain Historical Profile**

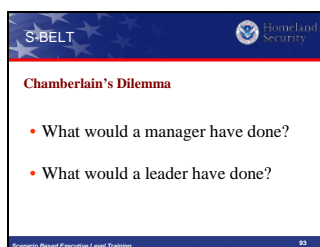
On the eve of the battle of Gettysburg, Colonel Joshua Chamberlain, was the commander of the 20th Maine, and had been notified that he would receive 120 soldiers of the former 2nd Maine, a unit recently disbanded. Chamberlain realized that he would soon be engaged in a significant battle that could turn the tide of the war. His ranks were depleted from what was once 1,000 to that of 250, and he needed all available manpower.

In that era it was rare to mix regiments, units were raised from the same towns and communities. These men that formed the units had grown up together, worked together, and then joined, trained, and fought together. Integrating one unit into another meant the introduction of strangers, rather than “the band of brothers” that most had come to expect. But these were unusual times and the 120 men from the 2nd Maine were delivered to Chamberlain under even more unusual circumstances. These 120 soldiers had signed a three year enlistment agreement, while others of the unit had signed agreements requiring only two years. This latter group, their enlistment up, had recently been released and had returned home.

The remaining 120 soldiers believed that they had enlisted only to fight with the 2nd Maine and rebelled at the idea of fighting with another unit. All were experienced soldiers having been through eleven major engagements. Most were proud, independent men who were farmers, loggers or fishermen from the coast of Maine. Hearing that they could not return with their brethren, they refused to fight and laid down their arms. Soon after, they were delivered to Chamberlain under armed guard. Chamberlain’s superiors notified him that he would take possession of the 120 men as prisoners and if they subsequently refused to fight, he had full authority to shoot each and every mutinous soldier.

Here was Chamberlain’s great dilemma. He realized a sizeable number of his own men would be required to just maintain guard of the prisoners. However, if he could convince them to fight, then he would increase his ranks by as much as half. He needed every single one of them, but what commander in their right mind would risk introducing such malcontents into their line, on the eve of a battle that may decide the war? What could he say to those 120 men that could turn them from prisoners back to soldiers?

**Application to Homeland Security:** The dilemma that Chamberlain faced is not that different from the likelihood of employee absenteeism or desertion during a pandemic flu outbreak or other critical incident. Familiarity with the actions that Chamberlain took and the long term ramification of his decisions offers homeland security leaders the opportunity to gain insight into the challenges that they may face during a pandemic flu outbreak.



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



### Chamberlain Historical Approach

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

### Text Historical Approach

Faced with a battle of potentially great significance, Chamberlain addressed the situation with the remaining men of the 2nd Maine head-on. Rejecting the official position that presumed the prisoners worthy of execution, Chamberlain instead pursued a course that treated these men as soldiers, while expecting them to behave as soldiers in turn. He removed their guards, provided them with regular rations (their first in many days) and assigned them to duties within the regiment.

In the end, nearly all of the 120 men agreed to fight, swelling the ranks of the 20th Maine, and providing a vital contribution to Chamberlain's success at Little Round Top. In turn, Chamberlain's victory helped the Union forces win at Gettysburg. Chamberlain would later remark that the men of the 2nd Maine "were among his very best men, worthy of the proud fame of the 2nd and the hard earned laurels of the 20th."

### Chamberlain's Resolution:

We know the tenor of Chamberlain's resolution to the dilemma because he wrote well and prolifically. Below is the essence of Chamberlain's argument to men of the 2nd Maine:

Chamberlain took a deep breath. He bowed his head and folded his hands together behind his back. He began, speaking slowly. "You men gather round. I'm aware of your problem. Well, there is nothing I can do today. We are getting ready to move out pretty soon and we'll be moving all day. I've been ordered to take you men with me. I've been told if you don't come along, I can shoot you. Well, you know I won't do that. Maybe someone else will, but I won't. So that's that. Here is the situation. The whole Reb Army is up that road a ways waiting for us. I tell you this is not the time for an argument like this. We could surely use you fellows. We are well below half strength. Whether you fight or not...well that's up to you. Whether you come along..... well you're coming."

Chamberlain continued: "You know who we are and what we are doing here, but if you are going to fight along side of us there are some things I would like you to know. This regiment was formed last summer, in Maine. There were a thousand of us then. There are less than 300 of us now. All of us volunteered to fight for the Union, just as you did. Some came because we were mainly bored at home, thought this looked liked it might be fun, some came because we were ashamed not to, many of us came because it was "the right thing" to do. And all of us have seen men die. This is a different kind of army. If you look back through history you will find this hasn't happened much. You will see some men fighting for pay, for women, for some other kind of loot, for land, power, because a king leads them or just because they like killing. We are here for something different, something new. This has not happened much in the history of the world. We are an army out to set other men free." He bent down and scratched the black dirt into his fingers. He was beginning to warm to his task noticing that the men were listening not moving or looking away.

"America should be free ground, all of it, not divided by a line of slave state and free; all the way, from here to the Pacific Ocean. No man has to bow, no man born to royalty. Here we judge you by what you do, not by who your father was. Here you can be something. Here is the place to build a home. But it's not the land. There is always more land. It's the idea that we all have value; you and me. What we are fighting for, in the end, we're fighting for each other." At that point, Chamberlain sensed that he had broken through the uneasiness that he had originally felt. There was no longer a barrier there. The words flowed like that of a clear river and he felt the power of his words as they described the power of the 2nd Maine's forgotten cause. And then he was done and concluded with "Sorry, I didn't mean to preach. If you ...go ahead, you talk for awhile. If you agree to join us, you may have your muskets back and nothing more will be said by anyone anywhere. If you choose not to join us..... well when this is all over I'll see what I can do to see that you get a fair treatment, but for now we are moving out.



Gentlemen, I think if we lose this fight, we lose the war. So if you choose to join us, I will be personally very grateful.”

Having addressed them in the manner that he did, 115 of the 120 “mutineers” agreed to fight with the 20th Maine. During the course of the battle, four more picked up their weapons and agreed to fight as well. Chamberlain ended up on the second day of the battle at the far left flank of the Union Army with almost 370 men. And as it turns out, he will need every one of them.

### **The Consequences of Chamberlain’s Resolution**

At the Battle of Gettysburg both armies were devoid of good intelligence and were forced into battle neither in a place or time of their choosing. Thanks to the bold actions of a Union cavalry general by the name of John Buford, the Union was able to force the battle before the Confederate line was set and by luck and happenstance they were able to initially control the high ground. However, before the end of the day, Lee was able to move the Union Army and carry the day.

Lee’s plan on the second day of battle was to undermine the far left flank of the Union Army and inflict an array a force against that flank that would dramatically outnumber his counterpart, crush the left flank and the Union line and force the Union Army into surrender. The unit that was positioned at the flank was Joshua Chamberlain’s 20th Maine and 119 of the 120 men from the 2nd Maine.

It was an unmercifully hot day in July when this battle was fought over some remarkably difficult ground. The forces arrayed against the 20th Maine were from 18th Alabama and they had never known defeat. The 20th Maine had marched more than 20 miles that morning and had been committed to battle with no food or water. They had attacked once, twice, and finally a third time. Chamberlain’s 20th Maine had taken more than 40% casualties. He was out numbered four to one. He knew he could not continue to fight a battle of attrition.

Traditional military teaching was that when a unit was in a defensive position, it should care for its wounded and redistribute supplies, ammunition, and personnel calling for reserves if needed. Chamberlain did all of those things, but was told there were no reserves and no additional ammunition available. The fighting had degenerated to hand-to-hand combat and Chamberlain sensed that he was outnumbered. After being advised that his unit was quickly running out of ammunition, Chamberlain did something that he would never have been taught in a West Point class. Chamberlain ordered his men to “Fix bayonets” – reassuring his men that the enemy had to be tired. With the next charge he ordered his line to anchor and then make a sharp left oblique.

Essentially instructing his men to swing off the hill as they attack the confederate troops much like a gate would swing.

As the 18th Alabama once more charged up the hill, Chamberlain gave the order to “fix bayonets!” and the men of the 20th Maine began to rapidly advance down the hill. In Chamberlain’s words, “It electrified the line.” The sudden flood of the Union charge sweeping into the confederate charge caused panic among the soldiers of the 18th Alabama. Many of the Confederate soldiers began to run in retreat convinced they were significantly outnumbered. As the panicked Confederate soldiers ran, many of them charged toward the union sharpshooters that Chamberlain had concealed deep in the adjacent woods. As the Union sharpshooters began firing on them, with deadly accuracy, many of the Confederate soldiers now believed that they were surrounded and began surrendering although they outnumbered the Union forces four to one. Chamberlain’s strategy worked and he was able to breach Confederate lines and preclude any further assaults on Little Round Top.

Chamberlain was slightly wounded during the action as were many of his soldiers. At the conclusion of the day, it was obvious that Chamberlain's actions had preserved the Union forces by preventing the Confederate’s attempt at a flanking movement that would have likely led to a Union defeat at Gettysburg. Arguably, Gettysburg was the deciding battle of the war; arguably, Little Round Top was the deciding battle of Gettysburg. Chamberlain’s 20th Maine augmented by that of the 2nd Maine was the deciding unit, in the deciding battle at Gettysburg. What would have happened had the 20th Maine had a lesser leader who, given written permission, had decided to shoot three or four of the 2nd Maine men as examples?



- **What may have happened if Chamberlain decided to follow orders and have the men shot if they had continued to refuse to fight? Would doing so have been considered wrong?**
- **What may have been the long term consequences?**



## 3.2 Situational Leadership Principles

### DIFFERENT SITUATIONS REQUIRE DIFFERENT KINDS OF LEADERSHIP

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

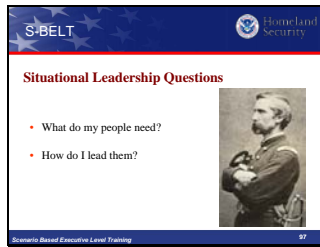
Secondly, situational leadership can be described in a variety of different terms and formal models (such as those copyrighted by Ken Blanchard) but for most purposes it can be expressed as a continuously shifting balance between the following behaviors and actions of the leader:

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

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

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

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



## Situational Leadership Questions

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

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



## Kurt Lewin Study

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

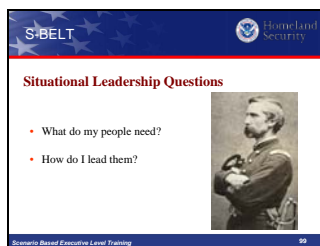
Using scout groups as the experimental subjects and focusing on the identified leadership styles of the scout masters, he determined the scout masters that were more autocratic (controlling, directing, more apt to tell) and the more democratic (two way

conversations, suggesting, encouraging). He then directed each of the scoutmaster groups that they should use their preferential styles uniformly through the period of observation.

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

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

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



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

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



### Positive aspects of situational leadership:

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

### Negative aspects of situational leadership:

- Addresses leadership as applied to a group. Can also be applied to an individual, but what about individuals within a group? What do you do when one or more of the team members has a different need than the group as a whole?
- What aspects of situational leadership will help you in applying the homeland security mission strategies in your organization? In your jurisdiction?
- Are there any aspects of situational leadership that you do not believe will be relevant to the application of the homeland security mission strategies in your organization? In your jurisdiction?



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

### **David Petraeus Abbreviated Resume:**

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



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

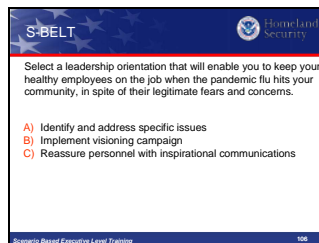


**Can you identify other current day examples of situational leaders in homeland security leadership positions?**



**Application to Homeland Security Leadership:** The application of the Leadership Test © to actual modern day homeland security leaders is an opportunity for participants to practice the process of applying the Leadership Test © to the complex issues of the pandemic flu.

**Simulator Exercise/Simulator Demonstration/Group Response**





- Based on what you know about the situation you will face in 18 months and the information you have evaluated thus far, select an action or strategy that best captures the style of leadership that will be most useful in addressing the challenge you face. Remember the focus of your selection should be the leadership orientation (style) that is represented by the actions described in the simulator.
  - For option #1 press A on your Qwizdom response unit.
  - For option #2 press B on your Qwizdom response unit.
  - For option #3 press C on your Qwizdom response unit.

### **Chamberlain Pay Off**

Let's take a look at the situation I faced with the men of the 2nd Maine. Those 120 soldiers did not lack competence or ability. They were well seasoned but because of the challenging situation they faced – each one questioned their commitment to the cause. My leadership responsibility was to recognize what they needed to reignite their commitment and dedication. For the men of the 2nd Maine, this meant a tactful and firm approach. I reminded them that their options were limited, they would accompany the 20th into battle but their performance of duty was a choice they would have to make.

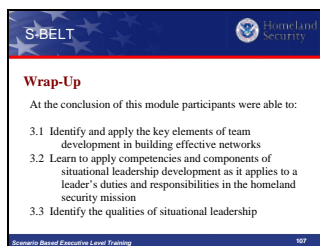
The situation you could face during a pandemic flu outbreak may not be that different from Little Round Top. The potential of desertion or absenteeism is real, especially when concern for self preservation or even a general disillusionment may seem to overwhelm duty and commitment. The benefit of orientating to situational leadership under these circumstances is the capacity to assess and alter leadership approaches quickly and fluently, without compromising consistency.

Through the situational leadership a leader recognizes that not all employees are the same. They are different, have different needs and need not be treated the same. Some groups facing mandatory duty during a pandemic flu outbreak or other critical incident may have legitimate concerns about their own welfare, some about their families, and others about the nature of the actions that they are required to take. In such a circumstance, a situational leader must identify the unique needs of these groups and if practical even those of individual employees. The key is to diagnose what prevents them from performing their duty. Once this diagnosis is completed, a situational leader may find themselves taking a variety of actions, some in a coaching style, others supportive, still others directive in nature.

An effective situational leader will maintain a flexibility of action that may make the difference between a crippling loss of employee commitment and a dedicated organization willing to face any challenge. Whether it is a seemingly hopeless battle at

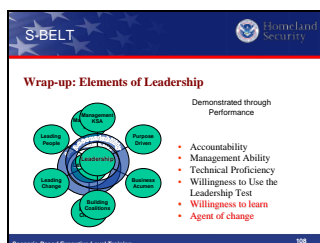
Little Round Top or a pandemic flu outbreak, the essence of situational leadership is the same: continuously determine the unique needs of your employees and adjust your leadership style to encourage high commitment and competency in the organization. When time and divergent interests require practical leadership action, situational leadership may be a good means of ensuring that you are doing the right thing, at the right time, in the right way, and for the right reasons.

**Application to Homeland Security Leadership:** The pandemic flu vignette is designed to introduce the class participants to the real issue of absenteeism that is a significant threat to operations of public and private sector agencies involved in homeland security. The simulator challenge activity is a realistic exercise that directly applies to and mirrors many of the information evaluation and decision-making processes involved in homeland security leadership. The simulator exercise allows participants to consider the leadership approach they would take prior to and during a pandemic flu outbreak in the safety of a virtual (simulator) environment.



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

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



S-BELT Homeland Security

**Test your Knowledge**

In the face of a crisis, a situational leader would.....

- Be adaptable & flexible
- Not deviate from the established strategic plan
- Consider policy as the ultimate determining factor
- All of the above

Scenario Based Executive Level Training 109

S-BELT Homeland Security

**Test your Knowledge**

A situational leader identifies and responds to the needs of their people.

True  
False

Scenario Based Executive Level Training 110

S-BELT Homeland Security

**Test your Knowledge**

A situational leader identifies and responds to the circumstances of the event.

True  
False

Scenario Based Executive Level Training 111

## Test Your Knowledge



## Module 4: Homeland Security Executive Leadership Skills: Primal Leadership and Emotional Intelligence (EI)



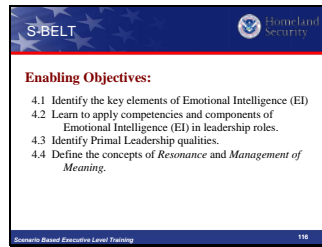
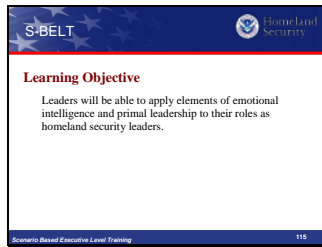
### Overview

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

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

Finally, the lesson will articulate the value of primal leadership as a skeleton key. This key enables leaders to unlock their potential abilities to create organization wide “resonance” with regard to forming formal and informal networks to further the homeland security mission. In order to do so, this module will incorporate a simulator based leadership profile to serve as an example of primal leadership and its application to homeland security. Utilizing the profile of Winston Churchill during W.W.II, the simulator will serve as a platform for the discussion of EI as a leadership tool. Special emphasis will be placed on the following EI properties as they relate to the profile:

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

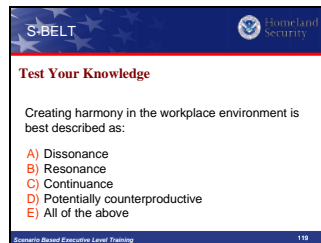
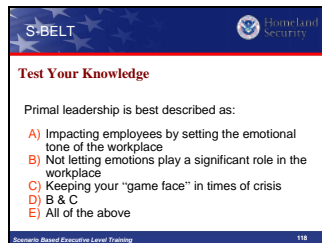
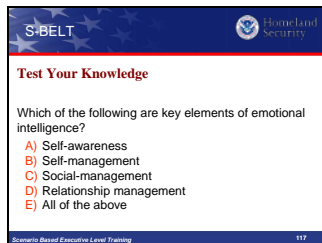


**Learning Objective:**

At the conclusion of this module leaders will be able to apply elements of emotional intelligence and primal leadership to their roles as homeland security leaders.

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

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



**Test Your Knowledge**



## 4.1: Pandemic Flu Challenge

### Discussion questions:

- What is the fundamental issue in this challenge portion of the scenario?
- What issues will you have to focus on as leaders?
- What are some steps you may take in the mission areas of Prevention and Protection?

### Application to Homeland Security Leadership:

The pandemic flu vignette is designed to introduce the class participants to the real issues of fear and organizational paralysis that are a significant threat to operations of public and private sector agencies involved in homeland security.

### Background/Supportive Data



### Discussion Questions:

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

### Key Elements of Emotional Intelligence (EI)

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

Special emphasis should be given to the idea that strong leadership in early human societies often corresponded with safety and security. This enabled individuals to spend less time worrying about protection and basic survival, and focus on developing specialized skills (farming, craftwork, hunting skills, etc.) that served to improve their society as a whole. This concept is summarized in the following excerpt detailing the

writing of ancient Greek Philosopher Plato. In his masterpiece on government, *The Republic*, Plato discusses the concept of the natural development of government and by extension leadership.

Class	Function	Contribution to Society (Virtue)
The producers of wealth	Law abiders / the general public	Wealth – the doers, makers, the producers.
Keepers of Order	Law and safety enforcement	Courage
Rulers / legislators	Law makers and leaders	Wisdom – the body politic

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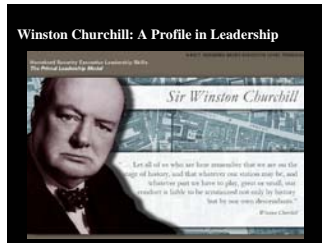
Chart of Plato’s concept of the “Natural State” (Kreeft, 2004, p.31)

**Application to Homeland Security Leadership:** Plato’s concepts about the natural tendency to create a “state” demonstrates the primal need that people have for *organized* safety and security. This concept will be used later in the module to explain the significance of emotional intelligence for homeland security leaders.

**Why does Leadership exist?**

- Practical Necessity
- Facilitator of the “Natural State”
- Enabler of Specialization
- Continuously Relevant
- Emotional Assurance

- Practical – helps facilitate order, safety, and security
- A source of emotional assurance and guidance – in crisis people naturally look for a leader
- Helps provide freedom for specialization – sound leadership allows people to specialize their activities and society prospers
- Additional reasons as cited by participants



### Churchill Historic Profile

In the spring of 1940 with his nation at war and it's only ally, France, near collapse, Winston Churchill assumed the post of British Prime Minister. At first glance Churchill was not especially suited for leadership on the world stage. He was not physically domineering, charismatic or awe inspiring in any noticeable way. Yet the situation he faced seemed to require a person of heroic proportions. The United Kingdom's predicament could hardly be any more dire. The Nazi war machine was making its way across Europe with little resistance, the United States and other powers were reluctant to intervene, and thousands of French and British troops were trapped at Dunkirk. By the summer of 1940 France had succumbed to the Nazi invasion and accepted a settlement with Germany. The United Kingdom now stood alone against Nazi Germany and an invasion of the British Isles seemed imminent. As Churchill struggled to control a situation that was desperately deteriorating he found himself facing a dilemma that few could have anticipated.

With France under Nazi control, the French Navy was tucked away at the Port of Oran on the Algerian Coast. Despite the heavy losses that French and British troops had sustained in fighting on the mainland, the French Navy was in remarkably good condition. Although the British still considered the naval force to be an ally, Churchill was concerned that after France's surrender the French naval resources would fall into the control of the Nazi's war machine.

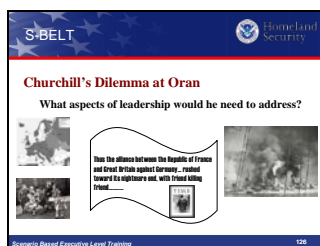
In a desperate effort to prevent what could have been a dangerous shift in power, Churchill ordered the British fleet to engage the French Navy. At Churchill's direction, the French were ordered to either sail to allied ports, scuttle their ships or join the British Fleet. When the French commanders refused, Churchill ordered their destruction. In approximately 10 minutes most of the French fleet was destroyed and nearly 1300 French sailors were killed.



Churchill had done the unthinkable- he had attacked the remnants of England's only ally against the Nazis'. Knowing that he would be vilified by many and doubted by many more, Churchill found himself in an impossible situation—how would he explain and justify the necessity of his actions? What would he say to his own people? How would he convince the world that his nation was the only thing standing between freedom and Nazi domination of Europe?

**Application to Homeland Security Leadership:** The scenario that is explored in the Churchill profile is a historical example of a threat that (Nazi invasion/attacks) held potentially devastating consequences for homeland security. Although the tactical, political, and even military issues are discussed in this segment, the focus of the Churchill profile is the importance of effective leadership and communication when dealing with a significant threat to homeland security. Regardless of the specific nature of the threat, the principles of the Churchill example hold true:

- Fear and confusion that can grip organizations and entire civilian populations in the wake of a threat to homeland security must be addressed in order to better deal with the actual threat.
- Leadership is a fundamental countermeasure to fear, confusion, and organizational/community-wide paralysis that may precede a homeland security threat such as pandemic flu.

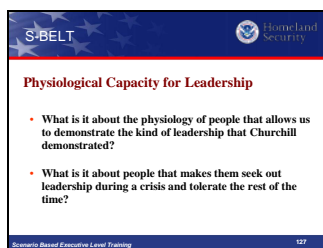


**What “primal” elements of leadership do you think the people of England most needed following Churchill’s actions at the port of Oran?**

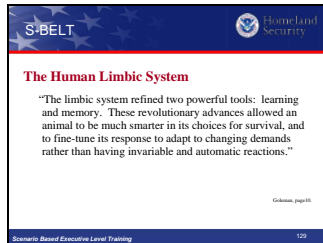
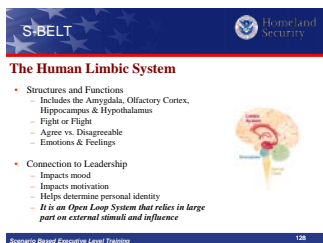
- **What do you think it was about Churchill that made him capable of making such difficult and controversial decisions? Why did anyone listen to him?**
- **What is it about modern day homeland security professionals that makes them seek out the types of positions that may require life and death leadership decisions? Why are you in the field you chose?**
- **Why are you in a leadership position? Why do any of your employees listen to you during a crisis?**

**Application to Homeland Security Leadership:** Although the specific circumstances may be different, Churchill's situation has significant relevance to the threat of pandemic flu outbreak. Like the Battle of Oran, the prospect of an impending outbreak will likely result in fear and confusion. If left unchecked, fear and confusion can lead to organizational and community wide inaction (paralysis) at the exact time when community action and cooperation are most needed.

#### 4.2: The Physiological Capacity for Leadership: The Limbic System



- Now that we know that leadership is a primal need for people and societies, let's examine the part of the human brain that is a receptor for primal leadership – the limbic system.
- We know why we have leadership – the question we can now address is how it works. What is it about the physiology of people that allows us to lead and be led in a uniquely human way?



#### Overview of the Limbic System

The limbic system is the part of the human brain that is involved in emotion, motivation, and emotional association with memory. It influences the formation of memory by integrating emotional states with stored memories of physical sensations. The term *limbic* comes from Latin *limbus*, meaning "border" or "edge". The limbic system developed to manage 'fight' or 'flight' chemicals and is an evolutionary necessity for reptiles as well as mammals. Although the system continues to evolve in humans, this system commands certain behaviors that are necessary for the survival of all mammals and reptiles. It gives rise and modulates specific functions that allow the animal to

distinguish between the agreeable and the disagreeable. Emotions and feelings, like wrath, fright, passion, love, hate, joy, and sadness, are mammalian inventions, originated in the limbic system. This system is also responsible for some aspects of personal identity and for important functions related to memory. The limbic system operates by influencing the endocrine system and the autonomic nervous system. There is circumstantial evidence that the limbic system also provides a custodial function for the maintenance of a healthy conscious state of mind.

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

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

Amygdala: Involved in signaling the cortex of motivationally significant stimuli such as those related to reward and fear

Hippocampus: Required for the formation of long-term memories

Parahippocampal gyrus: Plays a role in the formation of spatial memory and is part of the hippocampus

Cingulate gyrus: Autonomic functions regulating heart rate, blood pressure and cognitive and attentional processing

Fornicate gyrus: Region encompassing the cingulate, hippocampus, and parahippocampal gyrus

Hypothalamus: Regulates the autonomic nervous system via hormone production and release. Affects and regulates blood pressure, heart rate, hunger, thirst, sexual arousal, and the sleep/wake cycle

Mammillary body: Important for the formation of memory

Nucleus accumbens: Involved in reward, pleasure, and addiction

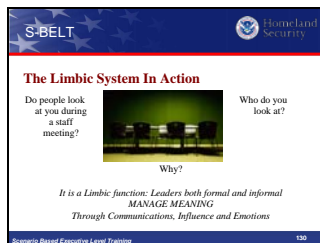
Orbitofrontal cortex: Required for decision-making

Thalamus: The "relay station" to the cerebral cortex

Olfactory Bulb: Olfactory sensory input

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

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



### Influence and Communication

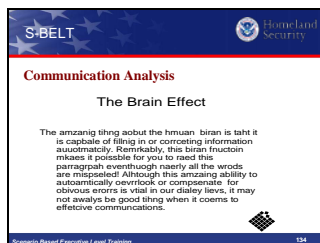
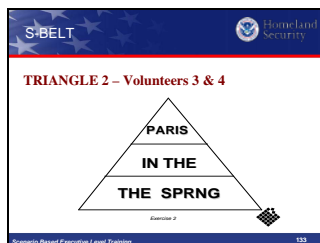
#### Discussion Questions:

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

**Application to Homeland Security Leadership:** This exercise and facilitated discussion further builds on the power of the limbic system in voluntary and involuntary communications. The use of a staff meeting setting is one that is likely to be familiar to homeland security leaders and decision makers and may help them become aware of physiological interactions that may occur in an all-hazards event.

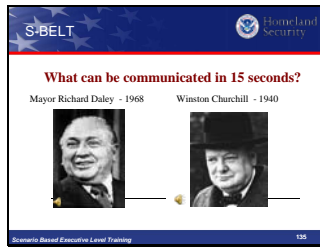


## Communication Analysis and Limbic influence Exercise



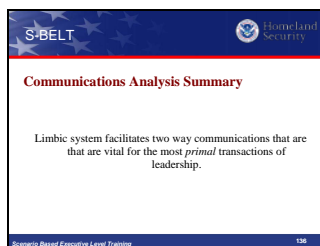
### Discussion Questions:

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



### Discussion Questions:

- What was the intended message in the context of their crisis situation?
- What was the actual message that was delivered?
- Did the message sound genuine?
- Do you believe it was an effective communication? Why?
- What role, if any, did the limbic system have in the communication?
- Was there an effort to manage meaning? Was it successful?



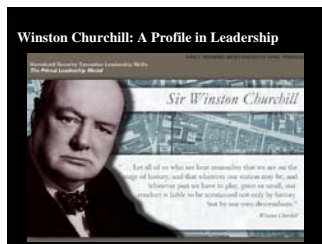
The limbic system facilitates communications (both verbal and non-verbal) that cater to the primal qualities of leadership. People will naturally identify and look to individuals in leadership positions for guidance, assurance, and a sense of stability that will enable them to function in a specialized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

- A leader's daily interaction with co-workers/subordinates/superiors
- A leader's interaction with outside agencies/organizations/groups—particularly when forming informal networks or working groups

- A leader's role in dealing with critical incidents such as a pan flu outbreak

**Application to Homeland Security Leadership:** The ability to “manage meaning” is an absolutely critical concept for homeland security leaders facing critical incidents such as a pandemic flu outbreak. The exercises in this section of the module illustrate the human brain's amazing ability to interpret, auto-correct, and seek out and/or disseminate communications. Ultimately, the applicable lesson for homeland security leaders is that they must be aware of the open-loop nature of the limbic system and consciously develop the communications skills that are vital to their positions. There are few other leadership positions in which “managing meaning” for people can have such high stakes and consequences.

## Primal Leadership and Emotional Intelligence



### Discussion Questions:

- **What were the benefits of the way that Churchill handled himself at Oran as well as with his people at home?**
- **What do you believe would have happened if Churchill were not able to effectively communicate the reason for his actions?**

### Churchill Historic Outcome

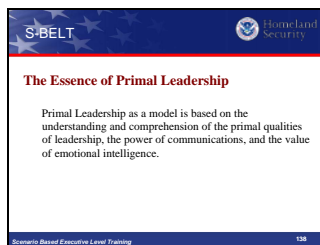
Winston Churchill's actions at Oran, as painful as they would prove to be for him personally, demonstrated his fortitude and emotional strength. However, the manner in which Churchill defended and explained his actions demonstrated a far more powerful leadership attribute. Churchill recognized the climate of the time in his country and in the rest of the world. He knew the people were scared and confused. Churchill addressed that fear and confusion time and again with his words and his decisions, inspiring millions of people into action. Churchill had through the course of his life and political career fine-tuned the ability to influence others by appealing to their emotions while simultaneously instilling confidence.

With an overwhelmingly powerful enemy, uncommitted allies, and his own besieged people as an audience, Churchill made it clear that the United Kingdom would take whatever action necessary to fight the Nazi threat. Surrender was not an option and

victory was the only choice that British people had. Furthermore, Churchill illustrated to the world that Nazis, which until then seemed unstoppable, were no longer facing a half-hearted opposition. Winston Churchill made it clear that World War II had now begun in earnest and that victory over the evil of the Nazi regime was the only possible result- whatever the cost.

Despite an overwhelming situation that threatened to spiral out of control, Winston Churchill managed to create resonance through his message and vision. Churchill's unthinkable decision sent an unmistakable message that would ultimately preserve his nation, inspire the United States and other powers into action, and defeat the Nazi war machine.

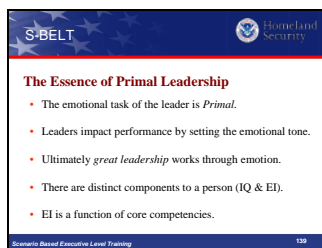
**Application to Homeland Security Leadership:** Although the specific circumstances may be different, Churchill's situation has significant relevance to the threat of pandemic flu outbreak. Like the Battle of Oran, the prospect of an impending outbreak will likely result in fear and confusion. If left unchecked, fear and confusion can lead to organizational and community wide inaction (paralysis) at the exact time when community action and cooperation is most needed.



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

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





## The Essence of Primal Leadership

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

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

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

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

- **Great leadership works through emotion**

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

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

Intelligence (IQ), personality, and emotional intelligence (EI or EQ) are distinct qualities that we all possess. Together they determine how we think and act, it is impossible to predict one based upon the other. People may be intelligent but not emotionally intelligent, and people of all types of personalities can be high in EQ and/or IQ. Of the three, EI is the only one that is flexible and able to change (Bradberry & Greaves, 2005, p. 26). The value of EI can not be overstated in terms of professional excellence. According to Bradbury and

Greaves (2005, p. 52), EI was tested along with “thirty three other important workplace behaviors and found that it subsumes the majority of them, including time management, motivation, vision, and communication. You can use your EI to boost your job performance in a variety of ways. It’s so critical to success that it accounts for 60 percent of performance in all types of jobs. It is the single biggest predictor of performance in the workplace and the strongest driver of leadership and personal excellence.”

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

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

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

Self Awareness	Self Management	Social Awareness	Relationship Management
<ul style="list-style-type: none"> <li>• Emotional awareness</li> <li>• Accurate self awareness</li> <li>• Self Confidence</li> </ul>	<ul style="list-style-type: none"> <li>• Optimism</li> <li>• Transparency</li> <li>• Adaptability</li> <li>• Initiative</li> </ul>	<ul style="list-style-type: none"> <li>• Empathy</li> <li>• Organizational awareness</li> <li>• Service</li> </ul>	<ul style="list-style-type: none"> <li>• Talent developer</li> <li>• Catalyst of change</li> <li>• Collaborator</li> </ul>

## SELF-AWARENESS

### Emotional Self-Awareness

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

### Accurate Self-Awareness

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

### **Self-confidence**

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

## **SELF-MANAGEMENT**

### **Self-control**

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

### **Transparency**

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

### **Adaptability**

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

### **Achievement**

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

### **Initiative**

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

### **Optimism**

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

## **SOCIAL AWARENESS**

### **Empathy**

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

### **Organizational awareness**

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

### **Service**

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

## **RELATIONSHIP MANAGEMENT**

### **Inspiration**

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

### **Influence**

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

### **Developing Others**

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

### **Change Catalyst**

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

## Conflict Management

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

## Teamwork and Collaboration

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

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

## 4.4: The Primal Leadership and Homeland Security Leadership Skills



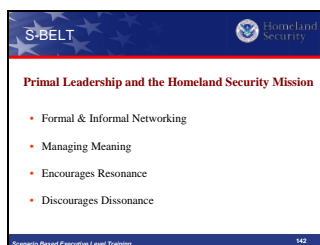
## Practicing Primal Leadership

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

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

- Practicing self-management by continuously seeking insight into ones own feelings and emotions. A process that can be described as having an inner conversation in order to diagnose elements of emotional intelligence.
- Improving your understanding of emotional intelligence by working with other people to identify different or unique emotional perspectives on a single situation.
- Improving communication awareness – intentional and unintentional. Realizing that there is a constant stream of communication between people and practicing the controlling of unintentional messages that often are subconsciously sent.
- Dealing with conflict but avoiding quiet conflict. Although conflict is often minimized by improved communication, it can not be completely removed. Genuine conflict should not be avoided but dealt with appropriately. Quiet conflict, on the other hand, is characteristic of poor or no communications and tends to feed upon itself. Quiet conflict can be emotionally detrimental so eliminating it is key to improving emotional intelligence.

**Application to Homeland Security Leadership:** The strategies for practicing primal leadership offer homeland security leaders with a practical tool for improving their daily interactions with subordinates and other leaders in both formal and informal ways. Furthermore, the enhancement of emotional intelligences may serve to grow individual leadership capacities and abilities to handle crisis or critical incidents such as a pandemic flu outbreak.

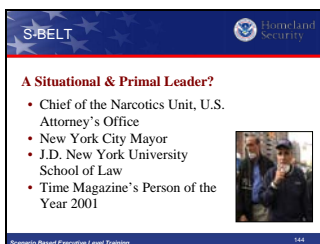


**Discussion questions:**

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

Primal leadership dividends:

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



**Rudolph Giuliani**

As Mayor of New York City, Rudolph Giuliani was a fixture for Americans eager for information and reassurance during the aftermath of the September 11, 2001 attacks on the World Trade Center. He made frequent appearances on radio and television and constantly worked to calm New Yorkers and all Americans. In one of his statements, Giuliani said "Tomorrow New York is going to be here. And we're going to rebuild, and we're going to be stronger than we were before...I want the people of New York to be an example to the rest of the country, and the rest of the world, that terrorism can't stop us" (Pooley, 2001).

- In your groups opinion is Rudolph Giuliani a primal leader? Why or Why not?
- Name another example of a homeland security leader that personifies primal leadership. What are the major reasons for your group’s selection?



## General Petraeus

On November 23, 2003, 17 soldiers of the famed U.S. Army’s 101<sup>st</sup> Airborne Division were killed when two Black Hawk helicopters collided. Although known for his calm and confident demeanor, Petraeus who commanded the 101<sup>st</sup>, reportedly was deeply saddened and troubled by the loss of so many of his soldiers. A war correspondent captured the aftermath of the tragedy and documented the impact that Petraeus’ reaction had on his troops by writing the following:

*The stone face gave way. The day after the accident, at the 101<sup>st</sup> headquarters, a young officer stopped his boss [General Petraeus]. “I know you are hurting,” the officer told Petraeus. “However, their loss gives us that many more reasons to get it right” (Barnes, 2005).*

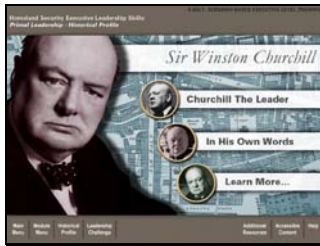
- Are you surprised that Petraeus, an accomplished and seasoned soldier, would show emotion?
- Are you surprised that a young officer would feel free to approach and comfort the Commanding Officer? A General?
- What was the effect that Petraeus’ use of emotions had on the young officer?
- Based on what we just discussed, is David Petraeus a primal leader? Why?
- Can a leader be considered both a situational as well as a primal leader?





**Application to Homeland Security Leadership:** The application of the Leadership Test © to actual modern day homeland security leaders is an opportunity for participants to practice the process of applying the Leadership Test © to the complex issues of the pandemic flu.

### Simulator Exercise/Simulator Demonstration/Group Response



- Based on what you know about the situation you will face in 18 months and the information you have evaluated thus far, select an action or strategy that best captures the style of leadership that will be most useful in addressing the challenge you face. Remember the focus of your selection should be the leadership orientation (style) that is represented by the actions described in the simulator.
  - For option #1 press A on your Qwizdom response unit.
  - For option #2 press B on your Qwizdom response unit.
  - For option #3 press C on your Qwizdom response unit.

### Churchill Pay Off

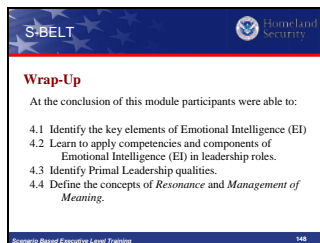
My country and my people faced the inevitability of war. It wasn't just coming. It was already happening all around us. As a leader, it was my responsibility to compel people into action. I convinced Great Britain and even some stubborn people over seas, that they were not powerless and had the ability to defend themselves, their country, and their convictions. In their fear, the people needed this kind of leadership and direction. My decision to destroy the French fleet could have greatly enhanced the existing level of fear and confusion, paralyzing the ability of my country to fight. Instead, I recognized their fears, explained my actions, and used the otherwise horrific event as an example of just how committed and capable England was to defeating the enemy.

The situation you face is a war of a different kind, against a different enemy. It is none-the-less a formidable and perhaps inevitable conflict. As a leader you must create an environment in which people can succeed despite fear. To do so, you need to resonate with your people. Address their fears by inspiring them and instilling confidence in their abilities to defeat the enemy and succeed.

Primal leadership is not an easy endeavor. It requires that a leader be introspective and aware of their emotions and limitations-you must be able to see in yourself what you can not hide from others. In the coming of a pandemic flu, you will yourself experience fear and uncertainty. Through this acute self-knowledge, primal leaders develop a high emotional intelligence. They can use this emotional intelligence and directed communication to influence people and achieve desired outcomes.

By using primal leadership to address this type of challenge, you can identify and meet the needs of your people, inspire them to action, and achieve your goals. When you meet the emotional needs of your people during any situation with understanding, guidance, and your own emotional intelligence, primal leadership principles may assist you in doing the right thing, at the right time, in the right way, and for the right reasons.

**Application to Homeland Security Leadership:** The pandemic flu vignette is designed to introduce the class participants to the real issue of fear and organizational paralysis that is a significant threat to operations of public and private sector agencies involved in homeland security. The simulator challenge activity is a realistic exercise that directly applies to and mirrors many of the informational evaluations and decision-making processes involved in homeland security leadership. The simulator exercise allows participants to consider the leadership approach they would take prior to and during a pandemic flu outbreak in the safety of a virtual (simulator) environment.




#### **4.5 Wrap-up: At the conclusion of this module participants were able to:**

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

S-BELT Homeland Security

**Wrap-up: Elements of Leadership**



**Demonstrated through Performance:**

- Accountability
- Management Ability
- Technical Proficiency
- Willingness to Use the Leadership Test
- Willingness to learn
- Agent of change
- Emotional Intelligence
- Ability, and Demeanor to Lead Leaders

Scenario Based Executive Level Training 149

S-BELT Homeland Security

**Test Your Knowledge**

Which of the following are key elements of emotional intelligence?

- A) Self-awareness
- B) Self-management
- C) Social-management
- D) Relationship management
- E) All of the above

Scenario Based Executive Level Training 150

S-BELT Homeland Security

**Test Your Knowledge**

Primal leadership is best described as:

- A) Impacting employees by setting the emotional tone of the workplace
- B) Not letting emotions play a significant role in the workplace
- C) Keeping your "game face" in times of crisis
- D) B & C
- E) All of the above

Scenario Based Executive Level Training 151

S-BELT Homeland Security

**Test Your Knowledge**

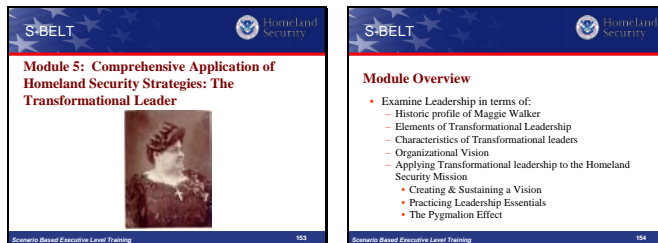
Creating harmony in the workplace environment is best described as:

- A) Dissonance
- B) Resonance
- C) Continence
- D) Potentially counterproductive
- E) All of the above

Scenario Based Executive Level Training 152

## Test Your Knowledge

## Module 5: Comprehensive Application of Homeland Security Strategies: The Transformational Leader



### Overview

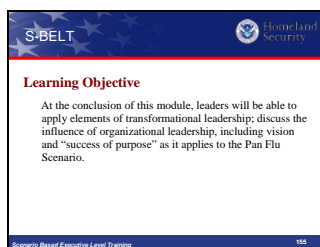
This module will encourage participants to examine the role of transformational leaders as a means of effectively applying the homeland security mission strategies in addressing all-hazards events. In considering the role of transformational leaders, focus will be placed on the premise that under the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

Key procedural aspects of transformational leadership involves developing a strong set of skills in communications, fostering vision, and building organizational infrastructure as well as inspiring action. Additionally, transformational leadership requires leaders to be comfortable with change and seek it as a means of leading people and organizations. These aspects of transformational leadership will be stressed in the module as characteristics that often come into play when applying the homeland security mission in an all hazards approach.

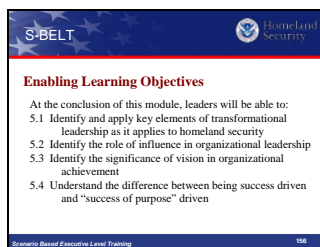
The module will include the consideration of Maggie L. Walker as a historical example of transformational leadership. Walker, the child of a former slave and a white newspaper columnist from New York, grew up in the American South during the age of legalized segregation and limited freedoms for American women. Despite these seemingly insurmountable obstacles, as well as a life filled with personal tragedy (death of a child, accidental death of her husband, illness, etc.), Ms. Walker guided a small penny and savings bank through the Great Depression eventually turning it into a multi-million dollar financial institution still in business today. Ms. Walker was the first female

bank president in U.S. history and a leader that inspired followers to accomplish and perform beyond their presumed limitations.

The example of Maggie Walker's transformational leadership will be used to illustrate the power of leadership in motivating followers into performance. Ms. Walker's accomplishments and leadership tactics will be explored as a template for today's homeland security leaders and decision makers that are often faced with seemingly insurmountable challenges and tasks. The lesson will seek to emphasize that effective leadership can and often does overcome a multitude of challenges.



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



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

- 5.1 Identify and apply key elements of transformational leadership as it applies to homeland security
- 5.2 Identify the role of influence in organizational leadership
- 5.3 Identify the significance of vision in organizational achievement
- 5.4 Understand the difference between being success driven and “success of purpose” driven

**Test Your Knowledge**

Characteristics generally attributed to transformational leaders include:

- A) A healthy ego
- B) Unable to handle feedback or criticism well
- C) Thriving on the notions of power or authority
- D) None of the above
- E) All of the above

**Test Your Knowledge**

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

**True**

**False**

**Test Your Knowledge**

The transformational leadership process moves through the following:

- A) Leading the charge – Finding the way forward – Developing the vision – Selling the vision.
- B) Developing the vision – Leading the charge – Finding the way forward – Selling the vision.
- C) Developing the vision – Selling the vision – Leading the charge – Finding the way forward.
- D) Developing the vision – Selling the vision – Finding the way forward – Leading the charge.

## Test Your Knowledge



**Homeland Security: Pandemic Influenza Scenario**

- What is the fundamental issue in this challenge portion of the scenario?
- What issues will you have to focus on as leaders?
- What are some steps you may take in the mission areas of Prevention & Protection?

## Pandemic Flu Challenge

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

**Application to Homeland Security Leadership:** The pandemic flu vignette is designed to introduce the class participants to the real issues of fear and organizational paralysis that are a significant threat to operations of public and private sector agencies involved in homeland security.

**Richmond VA Post Civil War:**

- 1867 – Union soldiers still occupied the rebelled Capitol of the Confederacy
- 1877 – Last of Federal troops leave Richmond
- 1883 – Richmond population was 50,000
- 1896 – U.S. Supreme Court ruled that separate but equal laws did NOT ensure blacks of civil rights guaranteed under the 14<sup>th</sup> amendment
- Confederate Museum opened in Richmond and held 1<sup>st</sup> of 5 National Confederate Reunions
- Richmond Chapter of the United Daughters of the Confederacy opened

**A Quintessential Transformational Leader**

*Maggie Lena Walker*

“... Christ, brethren and sisters, let us awake. Let us have a look at our life here for which we are here on earth. Oh, so our people were not often doing good, ‘but surely we had great opportunities made and designed in our souls.’”

— Maggie Walker

## 5.1: Transformational Leadership

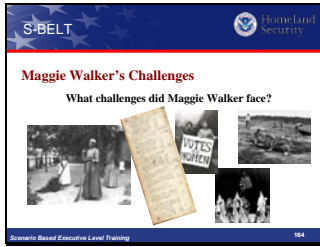
### Walker Historical Profile

Following the end of the Civil War, the situation in Richmond, Virginia, the former Capital of the Confederacy, was extremely grave. Newly emancipated slaves faced innumerable hardships, including poverty, illiteracy, unemployment, violence, restrictive laws, and social limitations, and few opportunities to initiate real change. The severity of these issues gave rise to new charitable organizations, many focusing on the plight of African Americans. One of these, the Independent Order of St. Luke, was a membership organization that provided health insurance and burial benefits, but was also committed to community improvement through various self-help programs and racial-pride initiatives. As an African American teenager, Maggie Walker joined the Order, drawn to the ideas of building community potential and pride.

The Order provided Walker an organized means to effect change, but it wasn't an easy process. She worked her way through the ranks and was eventually appointed treasurer in 1899, a time when the Order was dangerously close to collapse, with only a thousand members, a stack of bills, and thirty-one dollars in assets.

Though she was firmly committed to the Order's ideals, Walker faced a problem of staggering proportions. How could she succeed in an era of prevalent racism, where both African Americans and women were subject to restrictive laws that limited basic freedoms? How could she overcome the financial problems of the Order even as the Nation stood on the brink of a great depression? How could she convince the members of the Order that they were indeed up to this challenge and could overcome even their own perceptions of their abilities? What could she do to convince her community that change was possible in the face of all of this adversity?

**Application to Homeland Security Leadership:** The story of Maggie Walker and the astonishing challenges she faced and overcame serves as evidence of her application of transformational leadership throughout her life's achievements. Additionally, the overwhelming qualities of her challenges can be used as analogies for homeland security leaders seeking to develop strategies for overcoming potential overwhelming situation such as a pandemic flu outbreak.

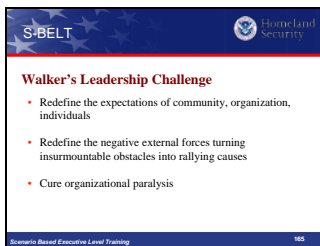


### Maggie Walker's Challenges

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

Overwhelming Challenges/Obstacles Faced By Maggie Walker	Overwhelming Challenges/Obstacles Faced by Me

**Application to Homeland Security Leadership:** The story of Maggie Walker and the astonishing challenges she faced and overcame serves as evidence of her application of transformational leadership throughout her life's achievements. Additionally, the overwhelming qualities of her challenges can be used as analogies for homeland security leaders seeking to develop strategies for overcoming potential overwhelming situations such as a pandemic flu outbreak.





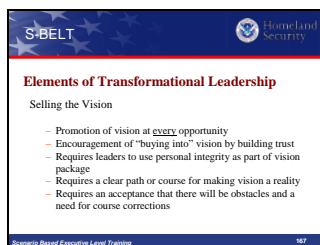


## 5.2 Elements of Transformational Leadership: Four Basic Steps for a Transformational Leader

### Step 1: Developing the Vision

**What was Maggie Walker's true vision?**

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



### Step 2: Selling the Vision

Maggie Walker was especially good at selling her vision. This step is never done. It requires constant energy and commitment to convince people a radical vision is possible and then motivate them to work toward it. A critical part of this step is creating trust. In order for people to follow a transformational leader, they must be able to believe in them.

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



### Step 3: Finding the way forward

Maggie Walker was committed to this process of exploration in ALL possible avenues toward the vision. This step is done simultaneously with selling the vision. Transformational leaders know the general direction they need to go to achieve the vision and they are committed to the **process**:

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



## Step 4: Leading the Charge

- Maggie Walker led the charge to a point where others believed that if they followed her, they weren't just achieving the vision, *but that they would become like her*. This is characteristic of transformational leaders.
- Maggie Walker didn't just believe in her vision. She believed in her followers.
- The transformational leadership approach, because of its reliance on energy and enthusiasm, can wear other people out.
- If the organization doesn't need to be transformed and people are happy with the way things are, a transformational leadership approach may be extremely detrimental.
- Finally and perhaps most importantly, passion and confidence on the part of a leader extolling a particular vision can be mistaken for truth. The fact is that just because a transformational leader believes that their vision is correct, just, right, or true does not make it so.

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



### 5.3 Transformational Leadership and the Moral Cause

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

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

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

**Based on this vision statement would you characterize it as success driven or success of purpose driven? Why?**

**Did Maggie Walker have a moral cause? What was it?**

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



### Walker Historical Approach

Maggie Walker used the Independent Order of St. Luke not as a charity, but as a vehicle for empowerment. She tackled the issues from the ground up, supporting her members and her community by allowing them to share in her vision of strength and success, and by providing the tools and resources they needed to make that vision a reality. One of the first obstacles Walker addressed were the limited opportunities for communicating important community issues to her members. In 1902, she created The St. Luke Herald, a newspaper that gave voice to her far-reaching vision, as it

encouraged change in all areas of the community – legislatively, socially, and financially.

Walker's communications were not just lofty goals. She worked tirelessly to provide real means for effecting the change she preached. Walker is perhaps best-known for the financial development role she played. In her commitment to educate her community on financial independence and money management, she recognized the need for a bank to support the individual needs and community development efforts of her members. In 1903, the Order opened the St. Luke's Penny Thrift Saving Bank and Walker became the first woman in the United States, of any race, to run a banking institution.

"We need a savings bank," she said. "Chartered, offered, and run by the men and women of this order. Let us have a bank that will take nickels and turn them into dollars." Walker later guided the bank successfully through the Great Depression and subsequent mergers. The St. Luke's Penny Thrift Saving Bank survives to this day as the Consolidated Bank and Trust.

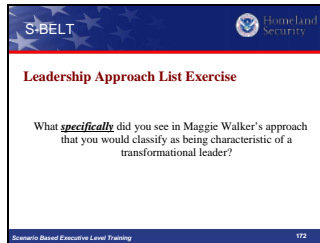
In 1907, under Walker's guidance, the Order tackled the problems of employment and access to fair-priced goods by opening store – St. Luke's Emporium. The opening of the store sparked new challenges, including resistance by white retailers, legislative constraints, and unfair purchasing practices, but in the end, Walker's vision prevailed and the store flourished.

Walker eventually built membership of the Order from the original thousand members to over 100,000 in 23 states and the Order's original thirty-one dollars grew to over three million dollars by 1924.

Her efforts resulted in significant opportunities for her community in the areas of business, education, self-improvement, and employment. By the early 1900's, more than half of the white-collar African American women working in Richmond (not including teachers) were employed by Maggie Walker.

Each of Maggie Walker's undertakings strategically supported her vision. She didn't create a bank, a newspaper, and a store to just make money for the Order. She created them as tools to support the continued growth and advancement of the people she was committed to. While Maggie Walker did indeed become a successful businesswoman, her real strength lay in her ability to inspire people to change for the better – even when they did not initially believe it to be possible. As a visionary, Maggie Walker encouraged people to overcome difficulties and challenges and gave them the tools and resources they needed to do it.

**Application to Homeland Security Leadership:** The story of Maggie Walker and the astonishing challenges she faced and overcame serves as evidence of her application of transformational leadership throughout her life's achievements. Additionally, the overwhelming qualities of her challenges can be used as analogies for homeland security leaders seeking to develop strategies for overcoming potentially overwhelming situations such as a pandemic flu outbreak.



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



## 5.4 Transformational Leadership Characteristics and Vision

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

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

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

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

### **Definition of *Vision*:**

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

### **Applications of *Vision*:**

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



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

(Blanchard, 2007, p.35)

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

### The Pygmalion Effect & Transformational Leadership



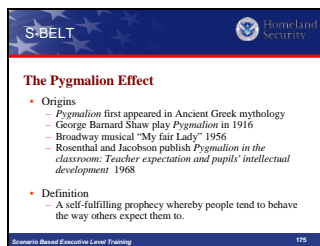
- What was Maggie Walker’s vision?
- Was she able to reach it despite all of the challenges she faced?
- Of all the challenges that Maggie walker faced and overcame – what was the greatest one?

Overwhelming Challenges/Obstacles Faced By Maggie Walker	Overwhelming Challenges/Obstacles Faced by Me

### Discussion Questions:

- Are the challenges overwhelming?
- Do they seem insurmountable?
- How do they compare with what Maggie Walker faced?

After the completion of the exercise, suggest that a gifted transformational leader, like Maggie Walker, is capable of manipulating expectations of individuals as well as entire organizations in way that can impact efficacy.



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

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

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

- They completed a field study on elementary school kids.
- Tested the student's intelligence quotient.
- The teachers were told which students scored higher and which scored lower, but actually it was just a random list.
- The researcher came back at the end of the year and retested all the students.
- Those students who were given "advanced attention" by the teachers actually had significantly improved academic performance.
- TRANSLATION: the change in the teachers' expectations led to an actual change in performance. The findings of the experiment specifically note that *"those average children who were expected to bloom intellectually were rated by teachers as more intellectually curious, happier, and in less need for social approval."*

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



**The Pygmalion Effect**

How does the Pygmalion Effect apply to the situation that homeland security leaders may face in leading their organizations in a time of difficulty / crisis (i.e. Pandemic Influenza or Hurricane Katrina)?

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## The Pygmalion Effect

- The situation faced by Maggie Walker.
- The situation that homeland security leaders may face in leading their organizations in a time of difficulty/crisis (i.e. Pandemic Flu).
- The value of transformational leadership as a way of managing the Pygmalion Effect.
- The potentially positive connotations of the Pygmalion Effect.
- Examples (provided by participants) of the Pygmalion Effect in action.

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

## 5.5 Applying Transformational Leadership to your Homeland Security Mission



- **What aspects of the transformational leadership will help you in applying the homeland security mission strategies in your organization? In your jurisdiction?**
- **Are there any aspects of transformation leadership that you do not believe will be applicable to the homeland security mission strategies of your organization? Of your jurisdiction?**

### Examples of Transformational Leadership



### Tom Ridge

After being elected Governor of Pennsylvania, Tom Ridge faced many complicated challenges. In addition to the typical budgetary concerns and logistical issues of governing a large northeastern state, Ridge found himself having to deal with a large state government bureaucracy and high taxes rates. Ridge also found himself facing an especially troubling technological deficiency in the state governments operations Pennsylvania was one of only two U.S. states NOT to have a website. In many ways the state was a “laughing stock” when it came to technology. After assuming the governorship in 1995, Ridge immediately went to work on budgetary initiatives. He worked to cut taxes, grow the state’s economy, while simultaneously creating a \$1 billion dollar rainy day fund.

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

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

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

His response is worth quoting:

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

*-Tom Ridge*

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



## General Petraeus

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

Under Petraeus, the officers of the 101<sup>st</sup> found themselves playing far out of position. One of his artillery officers was charged with figuring out how to get the region's oil flowing again. Some officers supervised cement factories, others electricity generation. Soldiers who had studied military aviation tactics found themselves figuring out how to administer a university. Petraeus himself supervised the city's first real elections (Barnes, 2005).

Ultimately, Petraeus and his troops reinvigorated the local economy, gained the respect and occasionally the trust of the locals, and started approximately 4500 reconstruction projects in the region.

### Discussion Questions:

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

## The Four Dimensions of the Leadership Test ©



**Application to Homeland Security Leadership:** The application of the Leadership Test © to modern day homeland security leaders is an opportunity for participants to practice the process of applying the Leadership Test © to the complex issues of the pandemic flu.

## Simulator Exercise/Simulator Demonstration/Group Response



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

- Based on what you know about the situation you will face in 18 months and the information you have evaluated thus far, select an action or strategy that best captures the style of leadership that will be most useful in addressing the challenge you face. Remember the focus of your selection should be the leadership orientation (style) that is represented by the actions described in the simulator.
  - For option #1 press A on your Qwizdom response unit.
  - For option #2 press B on your Qwizdom response unit.
  - For option #3 press C on your Qwizdom response unit.

## Walker Pay Off

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

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

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

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

**Application to Homeland Security Leadership:** The pandemic flu vignette is designed to introduce the class participants to the real issues that can pose a significant threat to operations of public and private sector agencies involved in homeland security. The simulator challenge activity is a realistic exercise that directly applies to and mirrors many of the information evaluation and decision-making processes involved in homeland security leadership. The simulator exercise allows participants to consider the leadership approach they would take prior to and during a pandemic flu outbreak in the safety of a virtual (simulator) environment. The vignette is intended to:

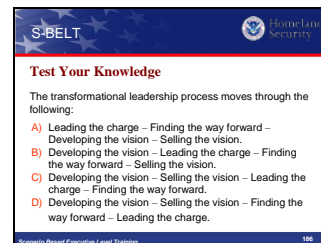
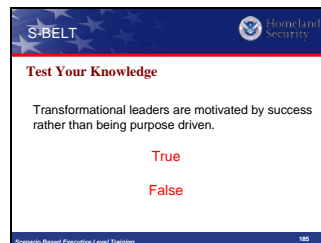
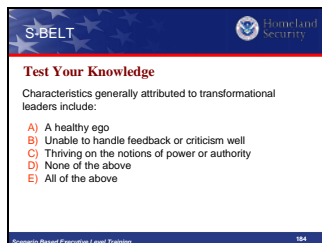
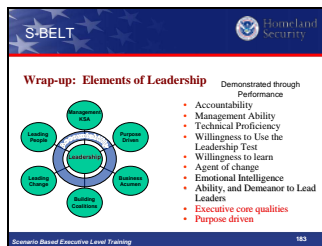


- Re-emphasize that transformational leadership recognizes that sharing a *purpose*, is perhaps the best motivator for organizational success. This is certainly critical to facilitating active participation from organizational personnel as well as members of the community that will be involving in applying the mission strategies to the National Planning Scenarios.
- Transformational leadership avoids the pitfalls of low expectations and the tendency of prophecies to become self-fulfilling (the Pygmalion Effect). To the contrary, the transformational leadership model often inspires people to achieve beyond expectations [will be discussed in leadership profile]. The way in which the model suggests that leaders exact influence (providing vision, sharing credit, use of humor, setting high standards, etc. reference chart in section D for complete list) may be the best means by which leaders can encourage comprehensive preparedness planning).
- Transformational leadership encourages leaders to be “architects” of their organizations rather than task managers. This definition of the leadership role will allow homeland security leaders to ensure that organizational form (structure, activities, and priorities) is consistent with organizational function (the application of the homeland security mission strategies).
- Transformational leadership calls for leaders to be agents of change. This is especially beneficial in the realm of homeland security mission implementation and planning. Especially when dealing with the types of unforeseen events and issues that arise during planning or actual crisis situations. Transformational leadership encourages leaders to view crisis situation as vital opportunities to grow their organizations, implement change, unlearn problematic behaviors, and most importantly test organizational vision.



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

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



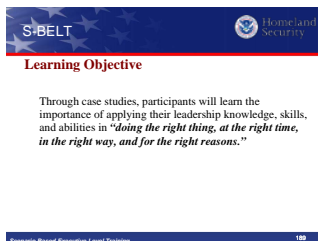
**Test Your Knowledge**

## Module 6: Meeting the Leadership Challenge



**Overview:** The Federal Government’s National Preparedness Guidelines recognizes the importance of establishing measurable priorities, targets, and a common approach to developing needed capabilities. The National Preparedness Guidelines (NPG) which states, “Capabilities-Based Preparedness also involves selecting methods to address capability gaps and deficiencies. This step involves translating a capability gap or deficiency into specific needs and determining a combination of resources to fulfill the need.” (*National Preparedness Guidelines, September 2007*)

Throughout the training participants have assessed the different theories of leadership and the knowledge, skills, and abilities (KSA’s) necessary for them to plan and prepare for the potential occurrence of a homeland security all-hazards event such as a pandemic flu outbreak. This module will provide participants the opportunity, through two case studies: Themistocles and the Pandemic Flu Case Study, to determine the KSA’s necessary “to do the right thing, at the right time, in the right way, and for the right reasons.”



### **Learning Objective (LO):**

At the conclusion of this module, leaders will analyze, compare, and rate leadership skills needs necessary to meet the leadership challenge “to do the right thing, at the right time, in the right way, and for the right reasons” through two case studies.

S-BELT Homeland Security

**Enabling Objectives**

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

- 6.1 Identify through the Case Study: Themistocles, a comprehensive leadership approach
- 6.2 Identify the leadership KSA's through a Pandemic Flu Case Study and local all-hazards events
- 6.3 Wrap-up

Scenario Based Executive Level Training 190

**Enabling Objectives (EO):**

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

- 6.1 Identify through the case study Themistocles the needed KSA's to plan and prepare for an all-hazards event
- 6.2 Identify through the case study Pandemic Flu the needed KSA's to plan and prepare for an all-hazards event
- 6.3 Wrap-up

S-BELT Homeland Security

**Test your Knowledge**

After the initial outbreak of a pandemic flu epidemic, which may be the most predominant leadership style necessary in crafting a message to address the anticipated level of fear in the community?

- a) Situational
- b) Primal
- c) Transformational

Scenario Based Executive Level Training 181

S-BELT Homeland Security

**Test your Knowledge**

After the initial outbreak of a pandemic flu epidemic occurs and it progresses past its initial phase, your leadership is critical. Which may be the most predominant leadership style necessary to recognize and address the individual needs of your team to secure and care for their own family so they can focus on the mission?

- a) Situational
- b) Primal
- c) Transformational

Scenario Based Executive Level Training 182

S-BELT Homeland Security

**Test your Knowledge**

Knowing that a pandemic flu outbreak may occur in your community and it has not happened yet, you know your community must prepare for it. Which may be the most predominant leadership style necessary to craft a vision for your community on what a successful outcome would look like?

- a) Situational
- b) Primal
- c) Transformational

Scenario Based Executive Level Training 183

**Test Your Knowledge**

S-BELT Homeland Security


**Simulator Exercise/Simulator Demonstration/Group Response: Themistocles**



Scenario Based Executive Level Training 194

S-BELT Homeland Security

**Themistocles**



Scenario Based Executive Level Training 195

**6.1 Themistocles, Statesman and Admiral**

**Simulator Exercise/Simulator Demonstration/Group Response**



## Challenge – Themistocles Historical Profile

### Themistocles Historical Profile Part 1

In 5<sup>th</sup> Century BC, the Persian ambition was world domination and they were on the march, with Greece as one of the targets. The first encounter between Persia and Greece was a small scale invasion in which the Greeks defeated the Persians at the Battle of Marathon. This battle left many Greeks with an overwhelming sense of confidence and security in their ability to ward off the Persian Empire.

But one Greek, Themistocles, recognized that another invasion was inevitable. As perhaps the world's first public works director, Themistocles worked to fortify Athens' main harbor from Persian invasion. Gaining respect for his work in this role, Themistocles later became an Athenian admiral and statesman and spent years continuing to prepare Greece for the coming invasion.

Themistocles identified a key Persian vulnerability – its' navy. The Persians did not like fighting on water and Themistocles built a strategy based on naval warfare as a means of stemming the invasion that he knew would determine the very future of Greece.

Themistocles knew Athens needed to build a naval force, but it would be difficult to convince the Athenians to build ships and train seamen when they'd traditionally been a land army. Further, the people didn't believe that there was any real need to prepare for an invasion. They believed that the Battle of Marathon was a sign of Greek strength and they could not be defeated by the Persians. To make things more difficult, the funds that Themistocles wanted to use to build the fleet were the profits from the silver mines. Traditionally, these profits were divvied up amongst the citizens. Themistocles was faced with several seemingly insurmountable problems.

- How could he prepare Greece for the coming invasion that many denied would ever happen?
- How could he convince the people to invest their silver profits in building a navy that had not previously been needed?
- How could he overcome the apathy and overconfidence of his people and motivate them to action?

## Part 1:

Themistocles first developed his vision. All of his work revolved around two words: *sea power*. Themistocles saw Athens as the greatest naval power in all of Greece. He envisioned a transformation for Athens from a mediocre Greek state to the leader in the defense against the Persians.

Themistocles spent 10 years imparting this vision to his fellow Athenians and gathering support. He convinced the Athenian Government to use the profits from the silver mines to build 100 ships and turned harbors into fortified naval ports.

Historians write of Themistocles painting a vision of transformation, adventure, and victory for the Athenians and then once convincing them to take the actions necessary, holding them to that commitment and vision for more than 10 years. Themistocles used whatever means he had to sustain this vision; he rallied supporters, removed opponents, secured funds, exuded self-confidence, and at every turn reminded the Athenians of their purpose.



## Themistocles Historical Profile Part 2

Themistocles' predictions came true. The Persians did return and a decade later were making their way across Greece and moving toward Athens. When the Persians were only a six-day march away, Themistocles knew that the Athenians would not be able to defeat the Persians and that the city would be lost. He urged them to abandon their city, flee to Salamis to join other Greeks forces, and there attempt to defeat the Persians by sea. The Athenians resisted leaving their homes and temples, and consulted the oracle at Delphi where they were told "when all was lost a wooden wall should still shelter the Athenians." The Athenians took this prophecy to mean that they should build a wooden wall around the city for protection. They were determined to stay.

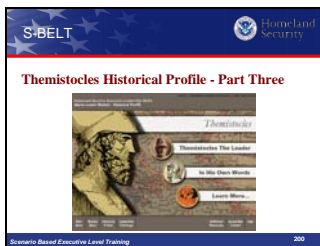
- As a leader, what could Themistocles do? His people were afraid and their fear was about to destroy them.
- What could he do to address the fears of his people and propel them into action?

Part 2:

As the Persians advanced toward Athens, Themistocles tried repeatedly to convince the Athenians to flee the city to Salamis. He gave moving, eloquent speeches. He argued and pleaded. He failed to persuade them. Themistocles recognized the fear around him and the danger of paralysis.

And then it occurred to Themistocles that he could use this fear to his advantage. He told the Athenians that Athena, the Goddess of Athens, had already left and gone to the sea. He used the beliefs and superstitions of his people that previously had conflicted with his arguments, as the basis *for* his arguments. He told the Athenians that the 'walls of wood' that the oracle had spoken of, were not walls built around the city, but was actually the wall of wooden ships waiting at Salamis. Using this approach, Themistocles persuaded the Athenians to abandon the city and flee to Salamis.

Themistocles used an approach common to primal leadership: he managed meaning. He took a set of facts that had previously served as an obstruction and reinterpreted them for his people, such that the same set of facts now served to support his cause.



### Themistocles Historical Profile Part 3

At the urging of Themistocles, the Athenians fled their city just before the arrival of the Persians who then burned Athens to the ground. The Persians now were massed just across the water from Salamis and the Greeks were afraid. Themistocles knew that if the Greeks couldn't engage the Persians in a naval battle in the narrow Straits of Salamis, Greece would be lost. He had repeatedly argued the merits of this strategy and had both won and lost his argument more than once in front of the Council.

On the eve of the battle at Salamis, the Greek Council met yet again and debated the strategy. The allied Greeks overwhelmingly favored a retreat. Only the nightfall kept the ships anchored in their positions in the straits. Themistocles knew that come morning, the Greeks would hoist sail and retreat.

Themistocles faced a dilemma. If the Greeks did not engage the Persians in this particular place, at this time, Greece would be lost. He had spent years building a navy

and persuading the Greeks to prepare for this very invasion. The situation was changing as fast as the wind.

- What were his options?
- What could he do?

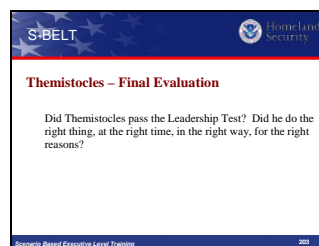
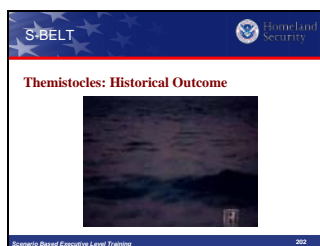
### Part 3:

Having stormed northern Greece and burned Athens, the Persians now occupied the territory directly across the Straits of Salamis and the Greeks were justifiably afraid. The Greek Navy was ideally positioned in the Straits to achieve a tactical victory, but the Greek Council was ready to retreat.

In the throes of battle, a *constant* re-evaluation of the conditions is required to achieve desired goals with the resources at hand. This is referred to as “situational leadership.” A situational leader must remember to always ask: What do my people need and how do I lead them?

Themistocles knew that if the Greek navy retreated, Greece would be lost. As a situational leader, he asked: *“What did his people need?”* They needed to have that battle that night. *Then how should he lead them?* For Themistocles, it was a matter of forcing the battle. He covertly dispatched a servant across the Straits to the Persian King with information that the Greeks were about to retreat and that if the Persians should move to attack, the Greeks could be destroyed. The Persian King advanced. The Greeks were forced into immediate battle in the Straits of Salamis, leading to the Greek victory that Themistocles had long anticipated.

Themistocles took a great risk in his actions leading up to the battle and could easily have been tried for treason had things turned out differently. In the end, he believed so deeply in his interpretation of the situation and the importance of the outcome, that he took it upon himself to force the Greeks into battle.







## 6.2: REAL HAZARDS CASE STUDY

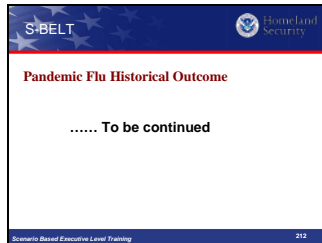


The purpose of this case study is to evaluate your understanding and application of the previously discussed leadership styles and skills. In this case study you will go through three Qwizdom activities placed at different stages of the pandemic flu outbreak case study. The Qwizdom activities are designed to allow you to respond to a question regarding the initial awareness that you are facing with a pandemic flu outbreak; to respond to a question shortly at the outset of the pandemic; and then once more when the outbreak has been contained.

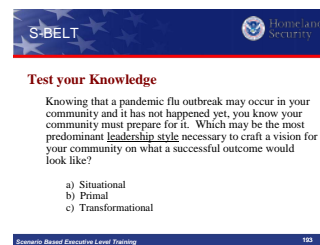
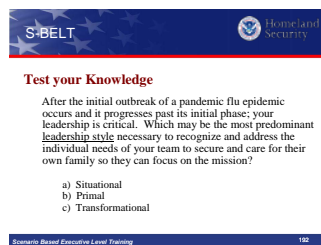
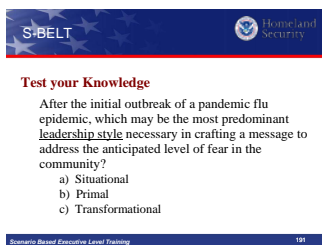
### Pandemic Flu – Desktop Challenges

After viewing the challenge scenarios proceed to the observation screen and examine the information contained on the desk by following the simulator prompts (place cursor over items on desk to be presented with relevant information to the challenge). Choose what items to explore in the office to gather decision making information.

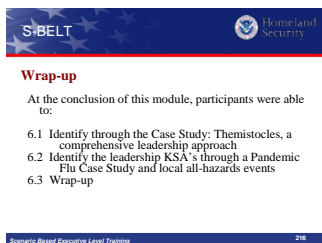




## HISTORICAL OUTCOME – ..... To be continued

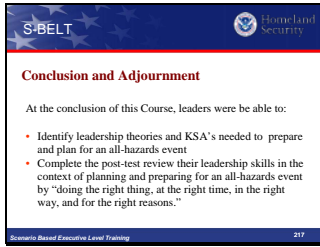


## Test Your Knowledge



### 6.3 Wrap-up: At the conclusion of this module participants were able to:

- 6.1 Identify through the case study Themistocles the needed KSA's to plan and prepare for an all-hazards event
- 6.2 Identify through the case study Pandemic Flu the needed KSA's to plan and prepare for an all-hazards event



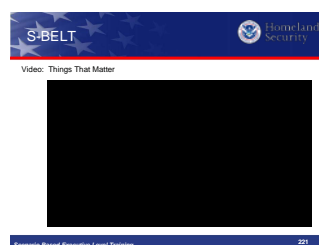
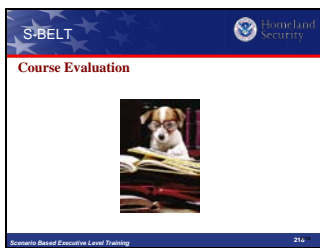
### Concluding Remarks:

Leaders now review their leadership capabilities in the context of planning and preparing for an all-hazards event by "doing the right thing, at the right time, in the right way, and for the right reasons."

### Test Your Knowledge Exercise Review

Throughout the course participants completed the post-test at the end of each module. Review with participants the post-test questions and their leadership capabilities in the context of planning and preparing for an all-hazards event by "doing the right thing, at the right time, in the right way, and for the right reasons."

### Course Evaluation:



## Appendix

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

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How to use the Qwizdom:



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



# GUIDANCE ON ALLOCATING AND TARGETING PANDEMIC INFLUENZA VACCINE



U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES  
U.S. DEPARTMENT OF HOMELAND SECURITY

## Introduction

Effective allocation of pandemic influenza vaccine will play a critical role in preventing influenza and reducing its effects on health and society when a pandemic arrives. The specific type of influenza that causes a pandemic will not be known until it occurs. Developing a new vaccine in response will take several months and pandemic vaccine may not be available when cases first occur in the United States. Moreover, once vaccine production begins, it will not be possible to make enough new vaccine to protect everyone in the early stages of a pandemic.

The U.S. Government is taking steps to minimize the need to make vaccine allocation decisions by supporting efforts to increase domestic influenza vaccine production capacity. Significant funding is being provided to develop new vaccine technologies that allow production of enough pandemic influenza vaccine for any person in the United States who wants to be vaccinated within six months of a pandemic declaration. Until this goal is met, Federal, State, local and tribal governments, communities, and the private sector will need guidance on who should be vaccinated earlier during the pandemic to best protect our people, communities, and country.

Issues to consider in drafting guidance on pandemic influenza vaccination are different and more complex than in developing recommendations for annual vaccination against seasonal influenza. In contrast with seasonal influenza, during a pandemic nobody in the population is likely to have immunity to the virus, many more people will become ill, and rates of severe illness, complications and death are likely to be much higher and more widely distributed throughout the population. The greater frequency and severity of disease will increase the burden on health care providers and institutions and may disrupt critical products and services in health care and other sectors. National and homeland security could be threatened if illness among military and other critical personnel reduces their capabilities. Because the needs that must be addressed by pandemic vaccination differ from seasonal influenza vaccination, the guidance on vaccination differs as well.

This guidance is intended to provide strong advice to support planning an effective and consistent pandemic response by States and communities. Nevertheless, it is important that plans are flexible as the guidance may be modified based on the status of vaccine technology, the characteristics of pandemic illness, and risk groups for severe disease – factors that will remain unknown until a pandemic actually occurs.

Vaccination will be only one of several tools that can be used to fight the spread of influenza when a pandemic emerges. Additional approaches include non-pharmaceutical public health measures in communities, businesses, and households to reduce and slow the spread of infection; using antiviral medications for treatment and prevention; using facemasks and respirators in appropriate settings; and washing hands and covering coughs and sneezes. These strategies will be the initial mainstay of a pandemic response before vaccine is available and continue to have important effects throughout a pandemic. Guidance around vaccine use is meant to be applied in conjunction with and in the context of these other pandemic response efforts. More information about pandemic planning and response measures is provided at [www.pandemicflu.gov](http://www.pandemicflu.gov).

## How the Guidance was Developed

The Federal Government developed this guidance through a rigorous and collaborative process that included input from all interested parties. Hearing opinions from persons and organizations with a wide variety of interests and concerns is the best way to ensure that allocation of vaccine in the early stages of a pandemic is fair and provides the best chance for our country to emerge from a pandemic with minimal levels of illness, death, and disruption to our society and economy.

This guidance was drafted by a Federal interagency working group whose members represent all sectors of the government. The guidance is firmly rooted in the most up-to-date scientific information available, and directly considers the values of our society and the ethical issues involved in planning a phased approach to pandemic vaccination. Information considered by the working group included rigorous scientific assessments of pandemics and pandemic vaccines, national and homeland security issues, essential community services and the infrastructures and workforces critical to maintaining them, and the perspectives of state and local public health and homeland security experts. Historical analysis of the influenza pandemics of 1918, 1957, and 1968 and their effects provided valuable insights to this guidance. Ethical considerations presented by an ethicist who served on the working group and by academic ethicists also were important to the working group process and deliberations.

Meetings with the public and stakeholders, including businesses and community organizations, provided key input on public values and priorities. Participants discussed and rated the importance of potential vaccination program objectives based on a severe pandemic scenario. Notably, each of the meetings came to the same conclusions about which program objectives are most important (outlined in the next section).

A formal decision-analysis process also was undertaken that considered the objectives of a pandemic vaccination program and the degree to which protecting population groups (defined by their occupation, age, and health status) contributed to meeting those objectives. Based on this process, groups that ranked highest were front-line public health responders, essential health care workers, emergency medical service providers, and law enforcement personnel. Among the general population groups, infants and toddlers ranked highest.

For additional information on the guidance development process, please refer to Appendix A.

## Draft Guidance on Allocating and Targeting Pandemic Influenza Vaccine

### *Goals and Objectives*

The *goal* of the pandemic influenza vaccination program is to vaccinate all persons in the United States who choose to be vaccinated.

It is recognized that vaccine supply to meet this goal will likely not be available all at once, but rather, be produced at a rate that depends on both vaccine characteristics (antigen required) and manufacturing capacity. Given that influenza vaccine supply will increase incrementally as vaccine is produced during a pandemic, allocation decisions will have to be made. Such decisions should be based on publicly articulated and discussed program objectives and principles. The overarching objectives guiding vaccine allocation and use during a pandemic are to reduce the impact of the pandemic on health and minimize disruption to society and the economy.

One of the most important findings of the working group analysis, and the strongest communication from the public and stakeholder meetings, was that there is no single, overriding objective for pandemic



vaccination and no single target group to protect at the exclusion of others. Rather, there are several important *objectives* and, thus, vaccine should be allocated simultaneously to several groups. Each of the meetings came to the same conclusions about which program objectives are most important:

- Protecting those who are essential to the pandemic response and provide care for persons who are ill,
- Protecting those who maintain essential community services,
- Protecting children, and
- Protecting workers who are at greater risk of infection due to their job.

In addition to these, working group discussions highlighted the important Federal objective of maintaining homeland and national security.

### *General Principles and Guidance on Pandemic Vaccination*

- The need to target vaccine to maintain security, health care, and essential services will depend on how severe the pandemic is, as rates of absenteeism and the ability to supply essential products and services will differ for more and less severe pandemics. As a result, groups targeted for earlier vaccination will differ by pandemic severity.
- Allocation of pandemic vaccines to States will be in proportion to the State's population.
- States should follow the national guidance to ensure fairness and uniformity across the United States and decrease confusion. Within the parameters of the guidance, a small proportion of each State's vaccine allocation may be maintained at the State level for distribution based on the specific needs of that jurisdiction.
- In past pandemics, groups at increased risk for serious illness and death have differed by age and health status. Specifically, during the 1918 pandemic previously healthy, young adults were a high-risk group. Because the high-risk groups in the next pandemic are not known, planners should consider how the guidance might be modified for this and other pandemic scenarios. At the time of the pandemic, national leaders will obtain advice from scientific and public health experts to determine whether the guidance should be modified based on the characteristics of the emerging pandemic.
- Guidance on pandemic vaccine allocation and targeting will be re-assessed periodically before a pandemic occurs to consider the new scientific advances, changes in vaccine production capacity, and advances in other medical and public health response measures.

### *Framework for Targeting Pandemic Influenza Vaccine*

Guidance for targeting vaccination was developed in a structure that defines target groups in four broad categories that correspond with the objectives of a pandemic vaccination program – to protect people who: 1) maintain homeland and national security, 2) provide health care and community support services, 3) maintain critical infrastructure, and 4) are in the general population.

Each category includes specific target groups that are defined based on their occupation or, for the general population, by their age and health status. Every person in the United States is included in one or more of these groups. Target groups are vaccinated in tiers, with all groups in a tier vaccinated simultaneously unless vaccine supply is so limited that sub-prioritization is needed. Reflecting public values and

the need to address multiple important objectives with the pandemic vaccination program, each of the top tiers includes target groups from all four categories for a severe pandemic.

Finally, groups in vaccination tiers differ depending on pandemic severity, as threats to security, society, and the economy will be less in less severe pandemics. The Pandemic Severity Index (PSI) defines categories of pandemic severity based on the proportion of individuals with pandemic illness who die (the “case fatality rate”). Pandemic severity will be determined soon after its initial outbreak based on surveillance of cases and their outcomes before large areas of the world are affected. Government organizations will use the PSI to determine how best to implement responses such as vaccination and community strategies to reduce disease transmission. For a diagram and additional information on the PSI, please refer to Appendix B.

### Guidance Framework At-A-Glance

**Target Groups** – People targeted for vaccination defined by a common occupation, type of service, age group, or risk level.

**Categories** – Pandemic vaccination target groups are clustered into four broad categories (homeland and national security, health care and community support services, critical infrastructures, and the general population). These four categories together cover the entire population.

**Tiers** – Across categories, vaccine will be allocated and administered according to tiers where all groups designated for vaccination within a tier have equal priority for vaccination. Groups within tiers vary depending on pandemic severity.

#### *Defining who is included in each target group*

Everyone in the United States is included in at least one vaccination target group. People who are not included in an occupational group will be vaccinated as part of the general population based on their age and health status. When a person is included in more than one target group, they will be vaccinated in the highest tier group in which they are included.

Occupationally defined vaccination target groups (those defined in the Homeland and National Security, Health Care and Community Support Services, and Critical Infrastructure categories) include *only persons who are critical for providing essential services during a pandemic, not the entire workforce*. Preliminary identification of critical functions was partly based on an analysis of critical sectors and workforces conducted by the U.S. Department of Homeland Security’s National Infrastructure Advisory Council (NIAC) ([www.dhs.gov/niac](http://www.dhs.gov/niac)), along with input from Federal agencies. Further work is being undertaken to more specifically define critical occupations whose members should receive early vaccination and to provide guidelines to employers on the proportion of their workforce that may be prioritized for vaccination. Because a pandemic differs from other national emergencies in the threats it poses and the duration over which it will affect our nation and communities, target groups within each sector may be different from those defined in other emergency response planning.

It should be noted that members of occupational target groups are defined by the functions persons within that target group are anticipated to perform during the pandemic outbreak; it does not distinguish among staff performing these duties as part of their usual functions, those being reassigned to perform the function as a new response role, or those performing the function as a volunteer. It should also be noted that vaccine does not replace, but adds to other measures taken to protect the workforce and general population.

The primary objective of vaccinating persons in critical infrastructure sectors is not to reduce absenteeism generally through an incremental reduction in pandemic illness afforded by vaccination. Rather, vaccination is targeted to protect workers with critical skills, experience, or licensure status whose absence would create bottlenecks or collapse of critical functions, and to protect workers who are at especially high occupational risk. Other pandemic response strategies (e.g., engineering controls in workplaces, changing work practices to reduce close contact with others, use of personal protective equipment such as facemasks, good handwashing, etc.), and worker education are likely to have greater overall effects in decreasing absenteeism.

For additional information on the definition of groups in each category, the rationales for how groups are ordered, and the estimated size of the target population, please refer to Appendix C.

#### *Guidance for Prioritizing Pandemic Vaccination*

National guidance for prioritizing pandemic influenza vaccination is provided in Table 1. In general, all groups designated for vaccination within a tier have equal priority for vaccination. Vaccine allocation within a tier will be proportional to the populations of the targeted groups, though changes in this allocation scheme at the time of the pandemic may occur based on vaccine supply, the impacts of the pandemic, and the specific needs identified at that time.

Vaccination priorities are tailored to pandemic severity in order to best achieve national pandemic response goals and objectives. Pandemics are defined as “severe” (PSI categories 4 or 5), “moderate” (PSI category 3), and “less severe” (PSI categories 1 and 2). Figure 1 illustrates pandemic vaccination tiers and target groups for a severe pandemic.

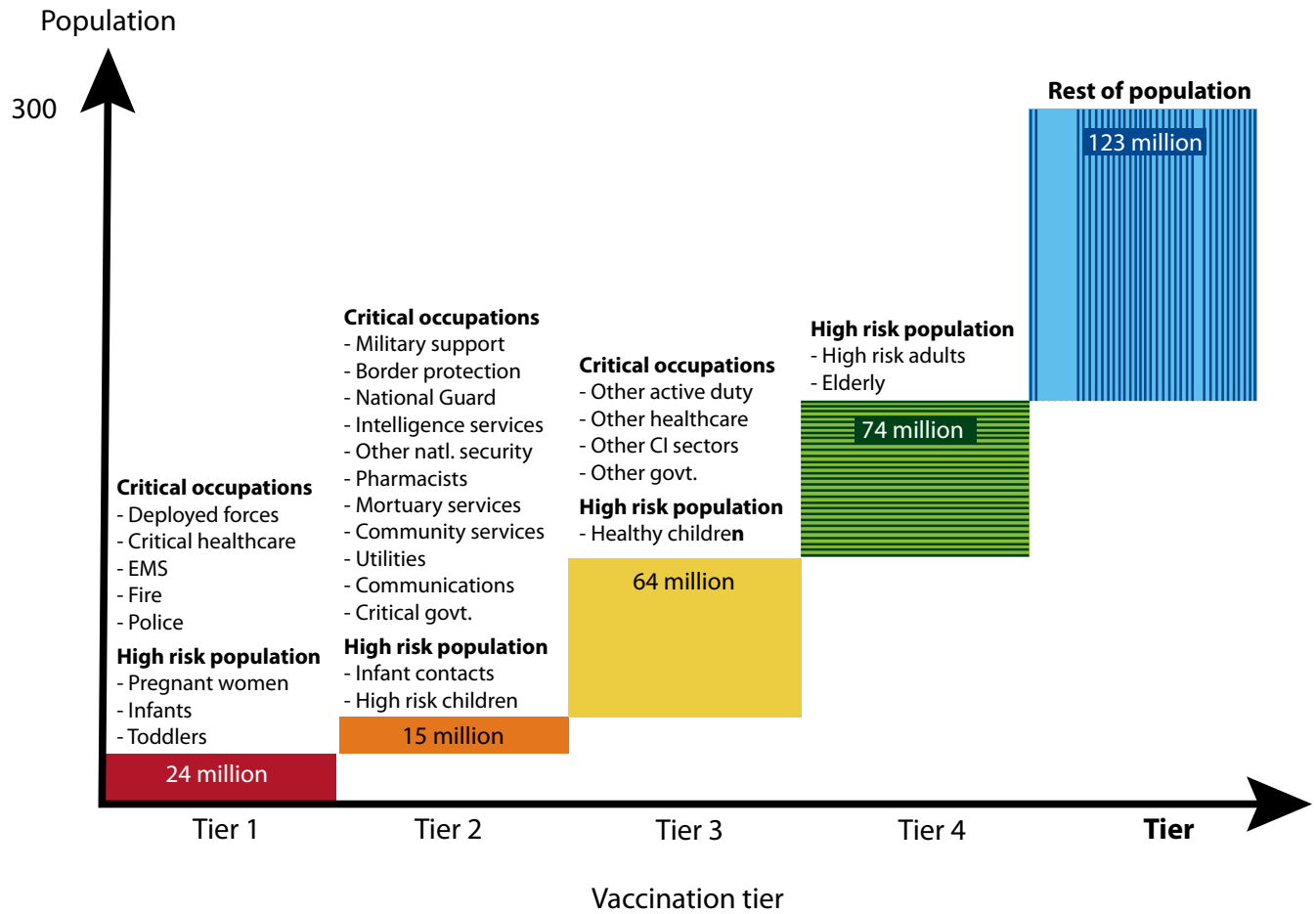
**Table 1.** Vaccination target groups, estimated populations, and tiers for severe, moderate and less severe pandemics as defined by the Pandemic Severity Index (PSI). Persons in occupational groups not specifically targeted for vaccination in Moderate and Less Severe pandemics are targeted according to their age and health status in the general population.

			Severity of Pandemic		
			Severe	Moderate	Less severe
Category	Target Group	Estimated Number*			
<b>Homeland and national security</b>	Deployed and mission critical personnel	700,000	Tier 1	Tier 1	Tier 1
	Essential support & sustainment personnel	650,000	Tier 2	Tier 2	Tier 2
	Intelligence services	150,000	Tier 2	Tier 2	Tier 2
	Border protection personnel	100,000	Tier 2	Tier 2	Tier 2
	National Guard personnel	500,000	Tier 2	Tier 2	Tier 2
	Other domestic national security personnel	50,000	Tier 2	Tier 2	Tier 2
	Other active duty & essential support	1,500,000	Tier 3	Tier 3	Not Targeted**
	<b>Health care and community support services</b>	Public health personnel	300,000	Tier 1	Tier 1
Inpatient health care providers	3,200,000	Tier 1	Tier 1	Tier 1	
Outpatient and home health providers	2,500,000	Tier 1	Tier 1	Tier 1	
Health care providers in LTCFs	1,600,000	Tier 1	Tier 1	Tier 1	
Community support & emergency management	600,000	Tier 2	Tier 2	Not Targeted**	
Pharmacists	150,000	Tier 2	Tier 2	Not Targeted**	
Mortuary services personnel	50,000	Tier 2	Tier 2	Not Targeted**	
Other important health care personnel	300,000	Tier 3	Tier 3	Not Targeted**	
<b>Critical infrastructure</b>	Emergency services sector personnel (EMS, law enforcement and fire services)	2,000,000	Tier 1	Tier 1	Tier 1
	Mfrs of pandemic vaccine & antivirals	50,000	Tier 1	Tier 1	Tier 1
	Communications/IT, Electricity, Nuclear, Oil & Gas, and Water sector personnel	2,150,000	Tier 2	Tier 2	Not Targeted**
	Financial clearing & settlement personnel		Tier 2	Tier 2	Not Targeted**
	Critical operational & regulatory government personnel		Tier 2	Tier 2	Not Targeted**
	Banking & Finance, Chemical, Food & Agriculture, Pharmaceutical, Postal & Shipping, and Transportation sector personnel	3,400,000	Tier 3	Not Targeted**	Not Targeted**
	Other critical government personnel		Tier 3	Not Targeted**	Not Targeted**
<b>General population</b>	Pregnant women	3,100,000	Tier 1	Tier 1	Tier 1
	Infants & toddlers 6–35 mo old	10,300,000	Tier 1	Tier 1	Tier 1
	Household contacts of infants < 6 mo	4,300,000	Tier 2	Tier 2	Tier 2
	Children 3–18 yrs with high risk condition	6,500,000	Tier 2	Tier 2	Tier 3
	Children 3–18 yrs without high risk	58,500,000	Tier 3	Tier 2	Tier 3
	Persons 19–64 with high risk condition	36,000,000	Tier 4	Tier 3	Tier 2
	Persons >65 yrs old	38,000,000	Tier 4	Tier 3	Tier 2
	Healthy adults 19–64 yrs old	123,350,000	Tier 5	Tier 4	Tier 3

\*Estimates rounded to closest 50,000. Occupational target group population sizes may change as plans are developed further for implementation of the pandemic vaccination program

\*\*Persons not targeted for vaccination in an occupational group would be vaccinated as part of the General Population based on their age and health status.

**Figure 1.** Vaccination tiers and target groups for a severe pandemic. This figure illustrates how vaccination is administered by tiers until the entire U.S. population has had the opportunity to be vaccinated, and how tiers integrate target groups across the four categories balancing vaccine allocation to occupationally defined groups and the general population.



## Vaccination Tier 1 at All Pandemic Severities

Tier 1 includes the highest priority groups identified in each of the four categories (Table 1). Unlike other tiers where the groups that are targeted differ with severity of the pandemic, Tier 1 is the same across all pandemic severities. This is because for the occupationally defined groups in this tier, maintaining effectiveness is critical, burdens are likely to be markedly increased in any pandemic, and the risk of occupational exposure and infection is high because of contact with ill persons, living conditions, or geographic location. It should be noted that during the 1918 pandemic, more American soldiers died of illness than in combat during the First World War.

Targeting vaccination in Tier 1 to groups that serve important societal needs is balanced by including in this tier pregnant women and infants, who are at high risk of dying during a pandemic. Protecting pregnant women and infants is in keeping with priorities expressed by public and stakeholder groups and is an efficient use of vaccine because a pregnant woman may pass on protection to her newborn and because infants between 6 and 35 months old may need a smaller vaccine dose compared with older persons.

### *Potential sub-prioritization of Tier 1*

Vaccine may be in extremely short supply through the first wave of a pandemic and even longer. Particularly in a severe pandemic, it may be necessary to sub-prioritize vaccination of groups included in Tier 1 by stratifying within and between target groups (Table 2). For example, hospital-based health care providers are separated into “front-line” providers – those essential for maintaining emergency departments and intensive care units and providing medical and nursing care on inpatient wards – and other inpatient health care providers who would receive vaccine later in Tier 1. This proposed ranking of groups within Tier 1 balances allocation to achieve multiple pandemic response goals and protects persons who are at highest occupational risk of becoming infected.

**Table 2. Sub-prioritization of vaccination among Tier 1 target groups for situations where vaccine supply is very limited.**

Priority	Group	Rationale	Estimated Population
1	Front-line inpatient and hospital-based health care workers (persons essential for maintaining function in emergency departments, intensive care units, and other front-line medical and nursing staff)	Critical role in providing care for the sickest persons; highest risk of exposure and occupational infection	1,000,000
2	Deployed and mission-critical personnel	Essential role in national and homeland security; high risk due to living conditions and possibly geographic location	700,000

3	Front-line Emergency Medical Service personnel (those providing patient assessment, triage, and transport).	Provide critical medical care including procedures such as intubation that increase risk of aerosol exposure and occupational infection	800,000
4	Front-line outpatient health care providers (physicians, nurses, respiratory therapy; includes public health personnel who provide outpatient care for underserved groups)	Effective outpatient care is critical to decrease the burden on hospitals; high risk of exposure and occupational infection	1,000,000
5	Front-line fire and law enforcement personnel	Essential to public order and safety; less substantial and more predictable risk of exposure.	1,000,000
6	Pregnant women and infants 6-11 months old	High-risk documented in prior pandemics and annually; reflects public values to protect children; vaccination of a pregnant woman also will protect the infant; infants 6-11 months old are at high-risk and antiviral drugs are not FDA-approved for children <1 year old	5,150,000*
7	Others in Tier 1 (includes Tier 1 health care workers not vaccinated previously in hospitals, outpatient settings, home health, long-term care facilities, and public health; emergency service providers; manufacturers of pandemic vaccine, antiviral drugs, and other key pandemic response materials; and children 12-35 months old)	Includes persons in critical settings who have less exposure and toddlers who are less at risk of severe disease or death than younger infants and who are able to receive antiviral treatment based on FDA approval of antiviral drugs	14,100,000**

\*Because infants would be expected to receive one-half a regular vaccine dose, the number of adult vaccine dose-equivalents for this group would be about 4,125,000

\*\*Toddlers 12 – 35 months old may receive a lower vaccine dose; thus, the number of adult vaccine dose-equivalents for this group may be less.

## **Appendix MODULE 1, C. Test Your Knowledge Questions**

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### **Module 2**

1. Which of the following are typically characterized as elements of management?
  - A) Task oriented
  - B) Big picture focus
  - C) Budget oriented
  - D) A and C
  - E) All of the above
  
2. Which are key elements of homeland security leadership?
  - A) Leading people
  - B) Leading change
  - C) Building coalitions
  - D) a and c
  - E) All of the above
  
3. Effective leadership is characterized by focusing on doing the right thing instead of doing things right?
  - A) True
  - B) False

### **Module 3**

1. In the face of a crisis, a situational leader would:
  - A) Be adaptable and flexible
  - B) Not deviate from the established strategic plan
  - C) Consider policy as the ultimate determining factor
  - D) All of the above
  
2. A situational leader identifies and responds to the needs of their people.
  - A) True
  - B) False



3. A situational leader identifies and responds to the circumstances of the event.
- A) True
  - B) False

#### **Module 4**

1. Which of the following are key elements of emotional intelligence?
- A) Self-awareness
  - B) Self -management
  - C) Social-management
  - D) Relationship management
  - E) All of the above
2. Primal leadership is best described as:
- A) Impacting employees by setting the emotional tone of the workplace.
  - B) Not letting emotions play a significant role in the workplace
  - C) Keep your “game face” in times of crisis
  - D) A and C
  - E) All of the above
3. Creating harmony in the workplace environment is \_\_\_\_\_.
- A) Dissonance
  - B) Resonance
  - C) Continuance
  - D) Potentially counterproductive

#### **Module 5**

1. Characteristics generally attributed to transformational leaders include (select the most appropriate):
- A) A healthy ego
  - B) Unable to handle feedback or criticism well
  - C) Thrive on the notions of power or authority
  - D) None of the above
  - E) All of the above

2. Transformational leaders are motivated by success rather than being purpose driven.
  - A) True
  - B) False
  
3. The transformational leadership process moves through the following:
  - A) Leading the charge - Finding the way forward - Developing the vision - Selling the vision
  - B) Developing the vision - Leading the charge - Finding the way forward - Selling the vision
  - C) Developing the vision - Selling the vision - Leading the charge - Finding the way forward
  - D) Developing the vision - Selling the vision - Finding the way forward - Leading the charge

## Module 6

1. After the initial outbreak of a pandemic flu epidemic, which may be the most predominant leadership style necessary in crafting a message to address the anticipated level of fear in the community?
  - A) Situational
  - B) Primal
  - C) Transformational
  
2. After the initial outbreak of a pandemic flu epidemic occurs and it progresses past its initial phase; your leadership is critical. Which may be the most predominant leadership style necessary to recognize and address the individual needs of your team to secure and care for their own family so they can focus on the mission?
  - A) Situational
  - B) Primal
  - C) Transformational

3. Knowing that a pandemic flu outbreak may occur in your community and it has not happened yet, you know your community must prepare for it. Which may be the most predominant leadership style necessary to craft a vision for your community on what a successful outcome would look like?
  - A) Situational
  - B) Primal
  - C) Transformational

## **Appendix MODULE 2, A. Comprehensive Discussion – Leadership and Management: There is a Distinction by William Westfall**

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### **LEADERSHIP AND MANAGEMENT: THERE IS A DISCTINCTION**

#### **Peter Drucker And The LAPD**

Peter Drucker completed a somewhat informal management study of the Los Angeles Police Department in the early 1970s. Drucker has often been described as “one of the most influential minds”, if not the “most influential” mind on the “art” of leadership over the past half century. Born in Austria in 1909, he would have been in his early sixties and was arguably at the peak of his skills. It is a little known study as his findings were never published, and lost in the institutional memory of the organization following a presentation that he made to the command staff upon the completion of his study.

While difficult to aptly summarize the talents of a man like Drucker, two were remarkable. His ability to look at complex organizations, regardless of their mission, and describe their present status and provide insights for their future is a rarity among generations. Secondly, he wrote prolifically.

Drucker, in 1937, eventually migrated to this country. Given his deep roots in Austria that would have been very difficult. But if you had Drucker’s talent for insight into complex organizations, one could understand why he left Austria in 1937. As you may know, there were a greater number of members of the Nazi party in Austria per capita than there were in Germany. He could no doubt see the changes that were coming. He went to England briefly but then settled in this country in 1938. What is remarkable is that by 1944, he had become so well known for his insights into complex organizations, that he was invited by General Motors to do a study of the company. General Motors was probably the most respected and revered corporation of its time, led by Alfred P. Sloan who was seen by many as the prototype CEO.

If you were Alfred Sloan, why might you want someone with Drucker’s insights to study General Motors in 1944? For all the social ills in this country in that era, and there were many, it may have been one of the most opportunistic times for business in the history of this country and especially for a car manufacturer. Think about it. Your parents and grandparents, if they could afford a car, had not been able to buy a new car for the last 5 or 6 years. There was going to be a huge pent-up market for new vehicles. There were many newly married young couples starting families in need of new vehicles coupled with a number of two income families with disposable incomes. The American car manufacturer’s competition has been interrupted by the war, while American factories had been honed to unprecedented levels of productivity. Those factories had been built by the Federal government during the war to house and produce war

materials and were now been gifted to the parent companies, dramatically reducing their overhead.

During his study, Drucker was reviewing the production data of one particular factory. In this particular factory they were producing cars prior to the war, during the war they produced jeeps and then post-war went back to making cars. Drucker made a discovery that would probably be missed by a less insightful eye. Of the three generations of production data, pre-war, during the war and post war, which of the three generations of workers would you predict to dramatically out produce the other two? Not only did they out produce the other two but there was also less re-work coming back into the factory due to defect or compromised workmanship. It was the workforce during the war. This finding was unexpected and certainly would not have been predicted. Not only were many of that work group women, but, as a whole, they were initially unskilled in a gross motor skill job. Post war when women came into the workforce, if they took a job in production work, the tendency was for them to gravitate toward finite motor skill work. The reason, women invariably are better at finite skill work and men usually better at gross motor skill work due to muscle mass.

How could a workforce made up largely of women the infirmed and unskilled out produce a skilled workforce of men? There was no doubt a number of contributing factors, but certainly one of the foremost was the fact that the workforce felt they were contributing to the overall war effort, but in their minds they were also making those jeeps for their family members. So what motivated them was a meaningful cause coupled with their sense of making those jeeps for people they knew and loved. The previous and subsequent work forces were making cars for money and for no one they knew. Drucker also noticed that the management teams made up of General Motor executives were getting out of their offices during the war and coming down on to the production floor and problem solving, teaching, mentoring and encouraging; something that they had never done before.

The reason for their aloof and hands-off style? As so often happens the GM executives had taken on the persona of their CEO. Alfred P. Sloan was known to be distant, austere and aloof. If you are unfamiliar with the history of General Motors then it is important for you to understand that Alfred P. Sloan had inherited the CEO position from the founder of General Motors, Billy Durant. As we begin to look at the differences between leadership and management these two men can anchor this distinction and help us to understand that they are dramatically different skill sets. What better way to illustrate this distinction, then by two distinctly different men. Let's take just a moment to get to know them just a bit better.

Durant was probably one of the true entrepreneurial geniuses of this past century. He was deeply vested and initially made his fortune in the carriage business when he watched first hand, Henry Ford "democratize the automobile." There were a number of auto manufacturers at the turn of the century, but most were small shops producing a

custom vehicle that cost thousands of dollars. The average worker was making \$1.50 a day and could never afford to buy one. Ford's vision was to put an affordable but dependable vehicle in the hands of the average man. Within just a few years his assemble lines were producing tens of thousands of His Model T's and Model A's at a cost of \$450.00. Additionally, he paid his workers an unheard of \$5.00 a day. By doing so he was able to retain a skilled worker in a monotonous job and provide enough disposable income that his workers could purchase the very car they produced. He once commented,

“I don't believe we should make such an awful profit on our cars. It is better to sell a large number of cars at a smaller cost than a smaller number of cars at a larger price because it enables a larger number of people to buy and enjoy the use of a car and gives a larger number of men employment at good wages.” His stockholders sued him for driving the price of the vehicle so low. Luckily, he won the suit and proved to the world that one could produce a quality product at a reasonable cost and pay his workforce a living wage. The common thought in that era was that you could do two of the three but not all three. Henry Ford could be difficult at times but he was a visionary who within a few years convinced Billy Durant that if wanted to survive in the transportation business, he needed to forgo carriages and consider automobiles.

The contribution that Durant makes is subtle but resounding. The one thing he noted is Ford only had an entry level vehicle that was very basic and one color. Durant looked around and took existing manufacturers and lured them into the same company, under the same roof and called the company General Motors (GM). Durant's contribution was to attract different markets to the same company. A young couple may buy a Ford and run it for three or four years, but then with a pay increase or better job they may consider a new car. They like their Ford so they go back to Ford but all Ford had was that same model with the same options in black. So they go to GM, the Chevrolet is pretty much an entry level vehicle to compete with Ford's Model T, but that Pontiac, called an Oakland in that era, maybe has a bigger trunk, with an upgraded seat, a glove box, locks on the doors and windshield wipers, so they buy the Pontiac. A few years later, another promotion and they come back to Ford, but all Ford has is that same entry vehicle so they head to GM and buy the Buick. One can predict what is going to happen. Durant's genius was the ability for the consumer to go back to the same market five times and with each vehicle put more margin in the coffers of General Motors and within very few years GM is the single largest manufacturer of cars, a distinction that should have been Ford's. By the time Ford, as a company, understood the need for multiple models, it was too late.

Durant was clearly a visionary and marketing genius, but he also had a tendency to move in a number of different directions without a well thought out plan. He started diversifying into refrigerators and real estate. He had a tendency to overspend and not respect the constraint of budgets and he made his board of directors very nervous.

Meanwhile, Sloan was running a ball bearing factory in New Jersey. He assumed the presidency of a factory that was going bankrupt and within a few years not only was the company profitable, but was known for making the finest ball bearing available. Who needed ball bearings for his cars, but Durant. He appointed Sloan to his board of directors. Finding Durant's business practices unnerving and ill disciplined, Sloan and the board wrestled control of GM away from Durant for the second and final time in 1923 at which time Sloan assumed reign. To his credit, Sloan took the entrepreneurial visions of Durant and gave them direction, discipline and focus. Durant's contribution is normally of little note in the history of GM. It is always Sloan who is given credit for the remarkable success of GM. But as we now begin to look at this issue of leadership and management this should be kept in mind. It is the visionary genius of Durant coupled with the organizational genius of Sloan that created GM. If you take either man and his contributions out of the equation there is no GM as we know it today.

Proof of that fact lies in the story of Tucker Automobile. Preston Tucker was a visionary and marketing genius who was talking about a car in the 1940s that would have seat belts, air bags, front wheel drive and a steering wheel connected to a center headlight that would turn when the steering wheel turned. When asked what happened to Tucker Automobile invariably people will say, "The Big Three put Tucker out of business, but if you take a closer you will find that Preston Tucker was much like Durant, a visionary and marketing genius who sold dealership after dealership and his investors kept asking, "Where's the car?" "It's coming, it's coming"! But meanwhile Tucker was living in the best of homes, wearing the best of clothes and driving the best of cars. He began making his investor's nervous. Congress intervenes and subpoenas Tucker. There is little doubt that his creative genius made "The Big Three" nervous, but in reality his failure to produce a vehicle made congress's inquiry and concern certainly legitimate. He finally goes down to his factory and along with his engineers produces 53 vehicles which he drives to the hearings, but it is too little too late and Preston Tucker ultimately goes bankrupt. And why did he go bankrupt? Because he never found his Sloan! He never found someone one who could take his visionary ideas and make them become a reality and literally make the rubber hit the road.

With that explanation let's now return to Drucker's finding regarding GM. Sloan was no doubt in his prime in the 1940's and seen as the proto-type for a CEO having been featured on the cover of Time Magazine more than once. Even Drucker, himself, credited GM war effort as one of the major deciding factors of the war. However, Sloan, as previously mentioned, was know to be somewhat aloof, one to closet himself from the workforce, a tradition within the corporate culture of GM well into the 1990s. Tom Peters, interviewing a worker in a GM parts plant in Bay City, Michigan was told by a front line employee that he had worked in that factory for years and he had never seen his plant manager. He wouldn't know him if he walked by him. This aloof management style had been the trademark of GM but during the war was modified with great success. Seeing this anomaly, Drucker recommended to Sloan that he change the corporate culture of GM to one of a more team building and problem solving. Sloan was

horrified. For GM was seen as the epitome of the successful organization and never before had the company made so much money. Sloan wrote a book *My Years With General Motors* as did Drucker, *Concept Of The Corporation*, in which they came to some very different conclusions about corporate culture. Drucker spoke to the social aspects of the corporation while Sloan concluded the following,

“Gasoline will always be cheap.”

“The American worker has no impact over the quality of what they produce; that is a management responsibility.”

“The foreign car market is just too far away; it will never make up more than 10% - 12% of our market.”

“The American people could care less about quality; after all, most of the market will trade up after two or three years.”

“General Motors is in the business of making money not cars.”

If you believed all of the above, what kind of car would you produce for the American people? A big car, with lots of fins, that would hog gas and fall apart about every three years. Sound familiar? The cars we built in this country well into the 1980s. What we see in Sloan arguably is a brilliant manager who organized resources and people well but lacked the visionary leadership of a Durant. But of the two books, one written by Sloan the most respected CEO of the day or a forty year old immigrant from Austria who had never produced a product or headed a company, which do you think became the bible for business in this country? Yet, had the automotive industry listened to Drucker in the 1940's and Deming in the 1950's, it may well have changed the way America did business.

It is this genius, Peter Drucker, who is asked to do a study of LAPD in the early 1970's. The study was never published or publicized and only exists as oral history among officers of that era who have long since retired. Drucker spent some six weeks with members of the department and reported back a number of findings. Had the study been published it could have, arguably, led to a number of changes in law enforcement given LAPD's penchant for marketing its programs. LAPD was fortunate that a man of his talent and insight would agree to do a study of a police agency. He did so some twenty-five years after his GM study probably with even greater insight and wisdom. One of Drucker's reported observations were:

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

*Peter Drucker  
Observation of LAPD Management*



While the statement was made more than three decades ago specifically about LAPD, could it not generally be applied to public sector management today? But what was Drucker really trying to say about LAPD's leadership?

Warren Bennis and Burt Nanus coauthored a book in 1985 titled Leaders: Strategies for Taking Charge; a classic in that it was one of the first works by credible authors to suggest there was a distinctive difference between leaders and managers and their roles within organizations. It was a true revelation for that generation of leaders/managers who believed that the two were synonymous; that is if you were a great leader you were also a great manager or if you were a great manager you were also a great leader. Keep in mind that as you look at Drucker's and Bennis' statement, you are talking about an evolution of thought over a period of 15 years by two of the most insightful minds on the subject of leadership in the past fifty years.

Let's look at Drucker's statement in light of Warren Bennis' work on leadership. Bennis studied a number of what he called "super leaders." Once completed, he summarized his work and the book by simply stating:

*"Managers do things right;  
Leaders do the right thing."*

*Warren Bennis  
Leaders: Strategies for Taking Charge*

Now reviewing Drucker's statement about LAPD in light of Bennis' statement, what was Drucker really saying about LAPD? Could we not argue that Drucker seemed to be really saying that:

You are so concerned with managing that you often fail to lead!

Herman Goldstein once observed that, "The police field is too preoccupied with management," which would seem to validate the aforementioned conclusion

For our purposes let's take the thinking of these two men, Drucker and Bennis to differentiate between management and leadership beginning with:  
Managers do things right; Leaders do the right thing.

First of all let's clarify that doing things right and doing the right thing are both critically important in any organization. Secondly, notice that we don't set this up as leadership vs. management as if leadership were good and management bad. There were a number of articles following Bennis' work that seemed to suggest just that, probably due to the fact that many in that generation over used management creating frustration and rendering management acts as negative. Properly exercised they are both needed if an organization is going to reach its full potential.

John Kotter makes this argument in his work that differentiates between leadership and management. Kotter wrote,

“That which we call management is largely the product of the past 100 years, a response to one of the most significant developments of the twentieth century: the emergence of large numbers of complex organizations. Modern management was invented, in a sense to help new railroads, steel mills, auto companies (and increasingly large public service agencies) achieve what legendary entrepreneurs created for them. Good management brought a degree of order and consistency to key dimensions like the quality and profitability of products. They created management to help keep a complex organization on time and on budget. That has been and still is its primary function.”<sup>1</sup> (If you recall our earlier conversation about Billy Durant and Alfred P. Sloan, it is an illustration of this point. Sloan took the vision of Durant and gave that vision order, focus, and discipline.)

“Unfortunately, as we have witnessed all too frequently in the last half century, they can produce order on dimensions as meaningless as the typeface on executive memoranda.” (So focused on doing things right, that they fail to do the right things.)

### **The First Skill**

Leadership and management when working properly support each other; however, they can also find themselves in conflict within the organization. The first skill we need is the ability to recognize this conflict and suggest solution rather than just contributing to the frustration. Let’s give you some examples of what we mean.

Following the terrorist attacks on New York and Washington a police officer the morning after the attacks arrived for his shift and had shrouded his badge. Technically, he was not to shroud the badge until authorized to do so by agency memo or by a supervisor’s direction. He was directed by his supervisor to remove the shroud. Refusing to do so he was formally disciplined. Hearing this story, some have responded by pointing out that he had refused to obey a direct order. Could it not be argued though that, it should never have come to that? But is this not a classic example of being so focused on “doing the thing right,” the supervisor fails to do “the right thing.” Not only does the management response have significant impact on the officer but it also has significant impact on the other 500 officers in the agency, creating tremendous angst and resentment among the officers while killing off agency motivation.

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<sup>1</sup> John B. Kotter, A Force For Change: How Leadership Differs From Management, Chapter 1, Pg. 3, 4

The ability to recognize this conflict between doing things right and doing the right thing, can assist supervisors and leaders from going down such a destructive path that over time eats away at agency morale and efficacy.

Hardly a day goes by that you don't see examples of this conflict. You need only to pick up a daily newspaper and you will see example after example. A deputy returned to a sheriff's department after a five year absence. He had been employed with a municipality in the interim. Upon his return there was a six month stay before he could enroll in the agency's health program. This is not an uncommon practice. It allows the insurance company to assess its potential risk before it assumes the liability for those that enroll. Also in this instance, it was not a problem for the deputy because, as is common practice, he carried insurance from his previous employment. However, in the interim six months, the deputy was discovered to have a life threatening cancer. He had insurance coverage, however due to his short term of employment, he had no sick leave and his treatment was anticipated to be lengthy and would require a number of days and even weeks of absence.

The sheriff, realizing that he did not want to bankrupt this young family while at same time this young deputy, husband and father, was literally fighting for his life, put together a pool of employees from the agency that had volunteered to contribute up to five days of their sick leave. However, reviewing the rules governing the program that allowed employees to contribute sick leave, they found that it could only been done for those that are enrolled in the agency's health program. The rule was originally implemented to preclude donating sick leave to those not a part of the agency. However, no one had considered the circumstances in which someone was employed but not enrolled when promulgating the rule. Realizing this, the sheriff went to his county board and recommended that first they change the rule to allow someone who is employed but not enrolled in the agency's health program to be the recipient of the donated sick leave. Secondly, the sheriff had put together a volunteer list of donors, beginning with himself, followed by two majors, his four captains, lieutenants and sergeants that by contributing up to five days of their sick leave would more that provide sufficient sick leave and therefore salary to support the deputy's family during his months of treatment. The sheriff was able to present this suggestion with the showing that, in fact, the county would be saving money because the sick leave would be paid at a deputy's rate and not that of senior officers.

At this point one of the county board members said to the sheriff, "Well, if we've got rules and we aren't going to obey our rules, why do we even have rules? The sheriff and most of the audience were stunned. Why? Because this particular board member was "so focused on doing the thing right that he would fail to do the right thing!" The board member was quoted verbatim in the following daily paper. Luckily the sheriff's presentation carried the day. But in the aftermath the county board member looked terribly insensitive and uncaring to his constituency. Often a death knell for a public servant and rightly so.

Let's see if we find an example that will anchor this concept of "being so focused on doing the thing right, one fails to do the right thing. You will no doubt recall the home run race between Mark McGuire and Sammy Sosa. Even those who don't regularly follow baseball remember this sport highlight. A home run is a spectacular sporting accomplishment. It is one of the most difficult feats in all of sport and the home run record is one of the most cherished of all records in sports. As we review this, keep in mind the back story that the home run record that had been held by Roger Maris since 1961.

Maris and Mantle, "The M & M Boys," as they had been labeled by the media, were both members of the storied Yankees. It was accepted in that era that if anyone were to break the great Babe Ruth's home run record it should fall to Mantle, not Maris this unknown from the Dakotas that had never hit more than 29 home runs in one season. But then Mantle injured his knee in late August and was out for two weeks and fell off the pace. Baseball fans did not want to see Maris break this most cherished of records held by one of the most cherished of baseball legends. Maris was receiving death threats; tufts of hair were falling out of his head from the stress. On the last day of the season, at his near last at bat, Maris poked number 61 out of the park and broke the record. Only 24,000 fans showed up that day in a stadium that seats 54,000. Fans stayed home in droves. They simply did not want to see Maris break the record. Then, baseball put an asterisk on the record. The asterisk qualified the record. Their logic was that Maris had more games than the Babe and therefore more opportunities. An asterisk that the Maris family tried to have removed for years following Maris' death from cancer. Interesting that the Babe had more games than his predecessor, but they never put an asterisk on the "Babe's" record. Maris never really seemed to take great joy in his feat for the way his efforts were received. He never came close to hitting 61 home runs again and finished out a career in St. Louis a setting more to his liking.

It is with this back story in mind that McGuire and Sosa pursue the 37 year home run record. The two were neck and neck when McGuire hit number 62 in September. When he hit number 61 that tied the record, the fan who caught the ball returned to McGuire. Keep in mind that this ball, if sold in an open auction could be worth as much as a million dollars. The proof of that is in that the last one that McGuire hit that year, number 70, sold in an open auction for more than one million dollars. The fan explained to McGuire that he was a baseball fan and he knew if he sold the ball it would end up in some "rich guys" den and that the average fan would never have the opportunity to see the ball. So he gave to McGuire telling him he wanted the ball to be gifted to "Cooperstown," in the Hall of Fame. He did tell McGuire he would like to shake his hand; he would appreciate if he would sign another ball and that he would love to have one of those St. Louis jackets. So for a handshake, a signed ball, and a jacket, this baseball fan gives up a ball worth hundreds of thousands of dollars if not a million or more. As one would expect this charitable act got huge publicity. Right smack in the middle of this, most of the country enjoying the resurgence of baseball, a group got so focused on "doing the thing right, they failed to do the right thing." Who was that? The

Internal Revenue Service (IRS) put out a press release and forewarned the public that whoever caught home run ball number 62 would be subject to a “gift tax” of \$337,000.00. It wasn’t a case of someone calling and asking for an opinion, the IRS initiated the notice. One has to ask why. George Washington once said that “Government is not logic, it is a force and like fire it is a dangerous servant and an earful master.” One reason our forefathers put so much emphasis on checks and balances in government.

One has to ask how the IRS could issue such a statement. What were they thinking? First of all who makes up the ranks of the IRS. As a whole they are accountants, attorneys and managers. They have degrees in accounting, law, and management. Each are worthy degrees, however they are degrees in accounting law and management, not leadership. And while we have seen leadership principles and instruction creep into the curriculum of management programs over the last twenty years, it will take years for the thinking of a Bennis and a Drucker to have impact on the instruction and thinking of both instructors and practitioners. How could the IRS issue such a statement? How could they be so focused on “doing the thing right that they fail to the right thing?” Actually, it is relatively simple, they simply did what they had been taught to do and practiced during their careers.

Well, as you may recall, there was a huge outcry from the public and the media. Number 62 was caught by a grounds keeper for the St. Louis organization. In a ceremony following the game, the groundskeeper, (insert name) gifted the ball back to McGuire stating, “Mr. McGuire, I have something that belongs to you.” He then turned and gave the ball to McGuire. However, he did so in an environment where the commissioner of the IRS had issued a statement saying that “The IRS had misinterpreted the rule when they stated that whoever catches the ball if they return it to McGuire they will not be subject to a gift tax. He then concluded, “Sometimes pieces of the tax code can be as difficult to interpret as the “infield fly rule.” It was a brilliant move on the part of the commissioner, who, with that simple statement diffused the tension by properly applying the law as intended and did so with humor. He did, “The right thing, at the right time, in the right way and for the right reason.”

### **The Second Skill: Differentiating Between Leadership Management as a Skill Set: Applying Drucker and Bennis to Management and Leadership**

Beginning with the thinking of Bennis and Drucker, the following is a list of comments drawing on the thinking of a number of additional contributors about the issue of leaders and managers. Let’s take a moment to compare the differences.

### Managers and Leaders

<b>Managers do things right;</b>	<b>Leaders do the right thing.</b>
<b>Managers are quantitative;</b>	<b>Leaders are qualitative.</b>
<b>Managers are concerned with efficiency;</b>	<b>Leaders are concerned with effectiveness.</b>
<b>Managers understand the cost of things;</b>	<b>Leaders understand the value of things.</b>
<b>Managers establish procedures;</b>	<b>Leaders establish direction through vision</b>
<b>Managers are referees;</b>	<b>Leaders are coaches and cheerleaders.</b>
<b>Managers pronounce;</b>	<b>Leaders facilitate.</b>
<b>Managers are responsible and hold people accountable;</b>	<b>Leaders are responsive</b>
<b>Managers view the world from the organization;</b>	<b>Leaders view the organization from the world.</b>
<b>Managers focus on what to say; Managers are preserving life;</b>	<b>Leaders focus on how to say it. Leaders have a passion for life.</b>
<b>Managers are driven by constraints;</b>	<b>Leaders are driven by vision and goals.</b>
<b>Managers run a cost center;</b>	<b>Leaders run an effort center</b>
<b>Managers initiate programs;</b>	<b>Leaders initiate ongoing, never ending processes.</b>
<b>Managers develop programs;</b>	<b>Leaders develop people.</b>
<b>Managers look for things done wrong;</b>	<b>Leaders look for things done right.</b>

Notice that the title talks about managers and leaders not managers vs. leaders. One is not necessarily better than the other. The key is knowing when to manage and when to lead. Also notice that the manager and leader do provide exclusive functions within the department. Both functions are needed. However, it is not unusual that in key decisions involving operational and personnel issues that one will be juxtaposed against the other. Settling suits when an officer was clearly in the right is a classic example. The argument that it saves money over the short term is valid but does it save money over the long term?<sup>0</sup> What does it do to undermine the spirit or morale of the agency, the officer and the very policy and procedure an agency is attempting to implement in order that it might become the practice of the agency? Officers feel betrayed as if following proper procedure does not result in the support of their administration.

Kotter goes on to make the same argument about their differences, their importance as skills and the impact when we fail to do both well with an emphasis in the private sector.

“Taken together, all these differences in function and form create the potential for conflict. Strong leadership for example, can disrupt an orderly planning system and undermine the management hierarchy, while strong management can discourage the risk taking and the enthusiasm needed for leadership. Examples of such conflict have been reported many times over the years, usually between individuals who personify only one of the two sets of processes: pure managers fighting it out with pure leaders. But despite the potential for conflict, the only logical conclusion is that both are needed if the organization is to prosper. Indeed, any combination other than strong management and strong leadership has the potential for producing highly unsatisfactory results. Strong management without much leadership can turn bureaucratic and stifling, producing order for orders sake, producing a firm that is somewhat rigid, not very innovative and thus incapable of dealing with important changes. Strong leadership without much management can produce change for change sake.”

Looking at the list of the differences between management and leadership could we not conclude management deals in a very tangible world with things such as budgets, resources, staffing, organizing while leadership deals in a very intangible world with such things as vision, values, consensus building, motivation and inspiration?

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John P. Kotter, A Force For Change: How Leadership Differs From Management, Ch. 1, Pg., 8

## **Appendix MODULE 2, B. The Homeland Security Architecture**

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Past events suggest that when our homeland is confronted with a major natural disaster or terrorist attack, that event has the potential to impact multiple jurisdictions within our homeland and require extraordinary leadership. In this course a pandemic flu attack is used as a real-life based example of such an all-hazards event. In this section, we will briefly review Federal policies (Federal laws, rules, and Presidential Homeland Security Directives) in the context of a National or local response to a pandemic flu outbreak with reference to the National Planning Scenarios and Target Capabilities. Below is an overview of Federal policies related to homeland security as enacted in chronological order.

### **The Patriot Act of 2001**

The Patriot Act (signed into law October 26, 2001) provided increased authority to U.S. law enforcement agencies in their efforts to fight terrorism in the United States and abroad. The Act increased law enforcement agencies ability to search telephone and e-mail communications and medical, financial and other records; eased restrictions on foreign intelligence gathering within the United States; provided increased authority for the Secretary of the Treasury to regulate financial transactions, particularly those involving foreign individuals and entities; and enhanced the discretion of law enforcement and immigration authorities in detaining and deporting immigrants suspected of terrorism-related acts. Also, the Act also expanded the definition of terrorism to include "domestic terrorism," thus enlarging the number of activities to which the Patriot Act's expanded law enforcement powers can be applied.

### **Key Provisions:**

- Increases the ability of law enforcement agencies to search telephone and e-mail communications and medical, financial, and other records
- Eases restrictions on foreign intelligence gathering within the United States
- Expands the Secretary of the Treasury's authority to regulate financial transactions, particularly those involving foreign individuals and entities
- Enhances the discretion of law enforcement and immigration authorities in detaining and deporting immigrants suspected of terrorism-related acts

### **The Homeland Security Act of 2002**

Title I of the Homeland Security Act of 2002 established the Department of Homeland Security, defines its primary missions and responsibilities, and creates its principle offices.



“The primary missions of the department include preventing terrorist attacks within the United States, reducing the vulnerability of the United States to terrorism at home, and minimizing the damage and assisting in the recovery from any attacks that may occur. The Department’s primary responsibilities correspond to the five major functions established by the bill within the Department: information analysis and infrastructure protection; chemical, biological, radiological, nuclear, and related countermeasures; border and transportation security; emergency preparedness and response; and coordination with other parts of the federal government, with state and local governments, and with the private sector.” (The White House, Analysis for the Homeland Security Act of 2002, 2006)

### Key Provisions:

- Created the third largest U.S. Department, the Department of Homeland Security. Facts regarding the Department include:
  - ✚ Established: November 25, 2002
  - ✚ Activated: January 24, 2003
  - ✚ Secretary: Janet Napolitano
  - ✚ Budget: \$52.5 billion (2009)
  - ✚ Employees: 218,501; 81% civilian, 19% military (2009)
  - ✚ Vision: *A secure America, a confident public, and a strong and resilient society and economy.*
  - ✚ Mission: *We will lead the unified national effort to secure America. We will prevent and deter terrorist attacks and protect against and respond to threats and hazards to the Nation. We will secure our national borders while welcoming lawful immigrants, visitors, and trade.*
- **Department of Homeland Security Organizational Structure:**

### Department Components

The [Directorate for National Protection and Programs](#) works to advance the Department's risk-reduction mission. Reducing risk requires an integrated approach that encompasses both physical and virtual threats and their associated human elements.

The [Directorate for Science and Technology](#) is the primary research and development arm of the Department. It provides federal, state and local officials with the technology and capabilities to protect the homeland.

The [Directorate for Management](#) is responsible for Department budgets and appropriations, expenditure of funds, accounting and finance, procurement; human resources, information technology systems, facilities and equipment, and the identification and tracking of performance measurements.

The [Office of Policy](#) is the primary policy formulation and coordination component for the Department of Homeland Security. It provides a centralized, coordinated focus to the development of Department-wide, long-range planning to protect the United States.

The [Office of Health Affairs](#) coordinates all medical activities of the Department of Homeland Security to ensure appropriate preparation for and response to incidents having medical significance.

The [Office of Intelligence and Analysis](#) is responsible for using information and intelligence from multiple sources to identify and assess current and future threats to the United States.

The [Office of Operations Coordination](#) is responsible for monitoring the security of the United States on a daily basis and coordinating activities within the Department and with governors, Homeland Security Advisors, law enforcement partners, and critical infrastructure operators in all 50 states and more than 50 major urban areas nationwide.

The [Federal Law Enforcement Training Center](#) provides career-long training to law enforcement professionals to help them fulfill their responsibilities safely and proficiently.

The [Domestic Nuclear Detection Office](#) works to enhance the nuclear detection efforts of federal, state, territorial, tribal, and local governments, and the private sector and to ensure a coordinated response to such threats.

The [Transportation Security Administration \(TSA\)](#) protects the nation's transportation systems to ensure freedom of movement for people and commerce.

[United States Customs and Border Protection \(CBP\)](#) is responsible for protecting our nation's borders in order to prevent terrorists and terrorist weapons from entering the United States, while facilitating the flow of legitimate trade and travel.

[United States Citizenship and Immigration Services](#) is responsible for the administration of immigration and naturalization adjudication functions and establishing immigration services policies and priorities.

[United States Immigration and Customs Enforcement \(ICE\)](#), the largest investigative arm of the Department of Homeland Security, is responsible for identifying and shutting down vulnerabilities in the nation's border, economic, transportation and infrastructure security.

The [United States Coast Guard](#) protects the public, the environment, and U.S. economic interests—in the nation’s ports and waterways, along the coast, on international waters, or in any maritime region as required to support national security.

The [Federal Emergency Management Agency \(FEMA\)](#) prepares the nation for hazards, manages Federal response and recovery efforts following any national incident, and administers the National Flood Insurance Program.

The [United States Secret Service](#) protects the President and other high-level officials and investigates counterfeiting and other financial crimes, including financial institution fraud, identity theft, computer fraud; and computer-based attacks on our nation’s financial, banking, and telecommunications infrastructure.

### **Office of the Secretary:**

The Office of the Secretary oversees activities with other federal, state, local, and private entities as part of a collaborative effort to strengthen our borders, provide for intelligence analysis and infrastructure protection, improve the use of science and technology to counter weapons of mass destruction, and to create a comprehensive response and recovery system. The Office of the Secretary includes multiple offices that contribute to the overall Homeland Security mission.

The [Privacy Office](#) works to minimize the impact on the individual’s privacy, particularly the individual’s personal information and dignity, while achieving the mission of the Department of Homeland Security.

The office for [Civil Rights and Civil Liberties](#) provides legal and policy advice to Department leadership on civil rights and civil liberties issues, investigates and resolves complaints, and provides leadership to Equal Employment Opportunity Programs.

The [Office of Inspector General](#) is responsible for conducting and supervising audits, investigations, and inspections relating to the programs and operations of the Department, recommending ways for the Department to carry out its responsibilities in the most effective, efficient, and economical manner possible.

The [Citizenship and Immigration Services Ombudsman](#) provides recommendations for resolving individual and employer problems with the United States Citizenship and Immigration Services in order to ensure national security and the integrity of the legal immigration system, increase efficiencies in administering citizenship and immigration services, and improve customer service.

The [Office of Legislative Affairs](#) serves as primary liaison to members of Congress and their staffs, the White House and Executive Branch, and to other federal agencies and governmental entities that have roles in assuring national security.

The [Office of the General Counsel](#) integrates approximately 1700 lawyers from throughout the Department into an effective, client-oriented, full-service legal team and comprises a headquarters office with subsidiary divisions and the legal programs for eight Department components.

The Office of Public Affairs coordinates the public affairs activities of all of the Department's components and offices, and serves as the federal government's lead public information office during a national emergency or disaster. Led by the Assistant Secretary for Public Affairs, it comprises the press office, incident and strategic communications, speechwriting, Web content management, employee communications, and the Department's Ready campaign.

The [Office of Counternarcotics Enforcement \(CNE\)](#) coordinates policy and operations to stop the entry of illegal drugs into the United States, and to track and sever the connections between illegal drug trafficking and terrorism.

The Office of the Executive Secretariat (ESEC) provides all manner of direct support to the Secretary and Deputy Secretary, as well as related support to leadership and management across the Department. This support takes many forms, the most well known being accurate and timely dissemination of information and written communications from throughout the Department and our homeland security partners to the Secretary and Deputy Secretary.

The Military Advisor's Office advises on facilitating, coordinating and executing policy, procedures, preparedness activities and operations between the Department and the Department of Defense.

### **Advisory Panels and Committees**

The [Homeland Security Advisory Council](#) provides advice and recommendations to the Secretary on matters related to homeland security. The Council is comprised of leaders from state and local government, first responder communities, the private sector, and academia.

The [National Infrastructure Advisory Council](#) provides advice to the Secretary of Homeland Security and the President on the security of information systems for the public and private institutions that constitute the critical infrastructure of our nation's economy.

The [Homeland Security Science and Technology Advisory Committee](#). Serves as a source of independent, scientific and technical planning advice for the Under Secretary for Science and Technology.

The [Critical Infrastructure Partnership Advisory Council](#) was established to facilitate effective coordination between Federal infrastructure protection programs with the infrastructure protection activities of the private sector and of state, local, territorial and tribal governments.

The [Interagency Coordinating Council on Emergency Preparedness and Individuals with Disabilities](#) was established to ensure that the federal government appropriately supports safety and security for individuals with disabilities in disaster situations.

The [Task Force on New Americans](#) is an inter-agency effort to help immigrants learn English, embrace the common core of American civic culture, and become fully American.

(Retrieved from <http://www.dhs.gov/xabout/structure/#1>, July 9, 2009)

### **Homeland Security Presidential Directive/HSPD-5 (February 2003)**

The purpose of HSPD 5 is to enhance the ability of the United States to manage domestic incidents by establishing a single, comprehensive national incident management system. The Federal Government recognizes the roles and responsibilities of State and local authorities in domestic incident management. Initial responsibility for managing domestic incidents generally falls on State and local authorities. Thus HSPD 5 had two principal focus' creating a uniform, national incident management system and a national response plan.

#### **Key Provisions:**

#### **National Response Framework (former National Response Plan)**

The purpose of the ***National Response Framework (Framework)*** is to establish a comprehensive, national, all-hazards approach to domestic incident response. The ***Framework*** presents an overview of key response principles, roles, and structures that guide a National response to an event. It describes how the Federal Government, tribes, states, communities, private-sector and nongovernmental partners apply these principles for a coordinated, effective national response. And, it describes special circumstances where the Federal Government exercises a larger role, including incidents where Federal interests are involved and catastrophic incidents where a State would require significant support. Its real value, however, is in how these elements come together and are implemented by first responders, decision-makers and supporting entities to provide a unified national response.

Key publications related to the *Framework*:

- ***National Response Framework (NRF)***: Delineates our Nation's response doctrine, responsibilities and structures.
- ***National Incident Management System (NIMS)***: Establishes a systematic approach for managing incidents nationwide.

- **ESF, Support and Incident Annexes:** Provide concept of operations, procedures and structures for achieving response objectives.
- **National Preparedness Guidelines:** Contains the National preparedness Vision and 15 National Planning Scenarios that focus on contingency planning.
- **Response Partner Guides:** Provide a ready reference of key roles and actions for community, State, leadership, Federal and private-sector response partners.

Regional community partnerships and established communication procedures are key components in the National Strategy for Homeland Security and other Federal policies, and these partnerships are critical in defining a regional leader's role in homeland security efforts. As noted in the National Response Framework, responses to domestic incidents are most effective when managed at the local level. Another key component is the involvement of the private sector in responding to domestic incidents. Regional partnerships that foster strong communication between leaders, public safety officials and the community are central to embracing leadership partnerships for effective regional homeland security collaboration.

### **National Incident Management System (NIMS)**

The National Incident Management System, commonly referred to as NIMS, was implemented pursuant to Homeland Security Presidential Directive 5 (HSPD-5) and is described below.

The benefits of NIMS include:

- a unified approach to incident management
- standard command and management structures
- emphasis on preparedness, mutual aid and resource management

Central to NIMS is the Incident Command System or ICS. The ICS is a standardized, on-scene, all-hazard incident management concept. ICS allows its users to adopt an integrated organizational structure to match the needs and demands of large or multiple incidents without being hindered by jurisdictional boundaries. The system is designed to allow a variety of agencies and personnel to join rapidly into a unified management structure.

ICS is designed to be inter-disciplinary and organizationally flexible. It is a plug and play system (in terms of people and modules). Thus, it is also a good system to manage non-emergency events like parades, fairs, and other types of mass gatherings.

### **Characteristics of the Incident Command System (ICS)**

Always an Incident Commander (first IC is responsible until relieved)

- Team oriented
- Modular (components or elements)
- Scalable
- Dependent on Planning (IAP) that provides measurable objectives to be accomplished over an operational period
- Integrated communication (common terminology)
- Chain of command
- Span of control (safety and accountability) (ratio 3 to 7)
- Unity of command

Types of Commands

- Single Command - single agency
- Unified Command - multiple agencies
- Area Command - multiple commands

### **Organizational Structure**

The ICS organizational structure is modular. As such the organizational structure should only include those positions and functions (individual modular units) that are needed to achieve incident objectives. Thus, as the incident evolves, the organization will usually be expanded, and, when it “winds down”, the organization should be contracted.

### **Homeland Security Presidential Directive 7 (HSPD 7), Critical Infrastructure Identification, Prioritization, and Protection**

This Presidential directive was issued in 2003 and established a National policy for Federal departments and agencies to identify and prioritize United States critical infrastructure and key resources and to protect them from terrorist attacks. HSPD 7 directed the Secretary of the Department of Homeland Security to work closely with other Federal departments and agencies, State and local governments, and the private sector in accomplishing the objectives of the directive.

## Homeland Security Presidential Directive-8 (HSPD-8): Homeland Security Defined

In 2001 President Bush created the Office of Homeland Security (October 8, 2001); Congress passed the Patriot Act (October 26, 2001); and the Homeland Security Advisory System was established the following year on March 12, 2002. Homeland Security Presidential Directive-8 (HSPD-8) of December 17, 2003 (“National Preparedness”) directed the Secretary of Homeland Security to develop a national domestic all-hazards preparedness goal. As part of that effort, in March 2005, the Department of Homeland Security (DHS) released the Interim National Preparedness Goal. Publication of the National Preparedness Guidelines (Guidelines) finalizes development of the National goal and its related preparedness tools.

### Key Provisions:

#### National Preparedness Guidelines (formerly Interim National Preparedness Goal)

With the publication of the National Preparedness Guidelines (September 2007) the National Preparedness Goal has been superseded with the National Preparedness Vision that states, “A NATION PREPARED with coordinated capabilities to prevent, protect against, respond to, and recover from all hazards in a way that balances risk with resources and need.”

The National Response Guidelines represents the final step in the Department’s effort to assure preparedness efforts in homeland security. Referred to as The National Preparedness -Guidelines package – which, like the National Response Framework, was developed through extensive national consultation – the package is comprised of four critical elements:

- The **National Preparedness Vision**, which provides a concise statement of the core preparedness goal for the nation.
- The **15 National Planning Scenarios**, which collectively depict a diverse set of high-consequence threat scenarios regarding both potential terrorist attacks and natural disasters. Collectively, these scenarios are designed to focus contingency planning for homeland security preparedness work at all levels of government and with the private sector. The 15 scenarios form the basis for coordinated Federal planning, training and exercises.

The Department of Homeland Security has devised a list of fifteen National Planning Scenarios that illustrate the range of major events that pose the greatest risk to our country (National Preparedness Guidelines, September 2007). That list is comprised of the following major events:



- Scenario 1: Nuclear Detonation – 10-Kiloton Improvised Nuclear Device
- Scenario 2: Biological Attack – Aerosol Anthrax
- Scenario 3: Biological Disease Outbreak – Pandemic Influenza
- Scenario 4: Biological Attack – Plague
- Scenario 5: Chemical Attack – Blister Agent
- Scenario 6: Chemical Attack – Toxic Industrial Chemicals
- Scenario 7: Chemical Attack – Nerve Agent
- Scenario 8: Chemical Attack – Chlorine Tank Explosion
- Scenario 9: Natural Disaster - Earthquake
- Scenario 10: Natural Disaster – Major Hurricane
- Scenario 11: Radiological Attack – Radiological Dispersal Devices
- Scenario 12: Explosives Attack – Bombing Using Improvised Explosive Devices
- Scenario 13: Biological Attack – Food Contamination
- Scenario 14: Biological Attack – Foreign Animal Disease (Foot and Mouth Disease)
- Scenario 15: Cyber Attack

Leaders must have a response team that has the skills and experience that allow them to prevent, protect against, respond to, and recover from such major events on a National and local level. Undoubtedly, this requires leaders to be familiar with the critical capabilities contemplated by the Department of Homeland Security in its Target Capabilities List; as well as to learn what comprises those critical capabilities such as personnel, planning, organization and leadership, equipment, training, and exercises, evaluations, and corrective actions.

A number of the major events listed in the National Planning Scenarios have confronted and impacted our homeland as real-life occurrences; we have now a better understanding of the need for the development and maintenance of critical capabilities and leadership skills on a National or local level. For the purposes of this training the real-life occurrences in the modern era is the pandemic flu incidents that occurred in 1928 and 1950. These incidents of pandemic flu outbreak were real-life occurrences of Scenario 3 of the National Planning Scenarios, which is the biological disease scenario: pandemic flu.

- The ***Universal Task List***, which is a menu of some 1,600 unique tasks that can facilitate efforts to prevent, protect against, respond to and recover from the major events that are represented by the National Planning Scenarios. It presents a common vocabulary and identifies key tasks that support development of essential capabilities among organizations at all levels. Of course, no entity will perform every task. Instead, this task list was used to assist

in creating the Target Capabilities List. It is included in the *Guidelines* package as a reference for interested jurisdictions.

- The ***Target Capabilities List***, which defines 37 specific capabilities that communities, the private sector and all levels of government should possess in order to respond effectively to disasters. As DHS notes, “The *Target Capabilities List* (TCL) provides guidance on the specific capabilities and levels of capability that Federal, State, local, and tribal entities will be expected to develop and maintain. A capability may be delivered with any combination of properly planned, organized, equipped, trained, and exercised personnel that achieves the outcome. The TCL is designed to assist jurisdictions and agencies in understanding and defining their respective roles in a major event, the capabilities required to perform a specified set of tasks, and where to obtain additional resources if needed.” (retrieved July 28, 2008 from [http://www.ojp.usdoj.gov/odp/docs/CBP\\_041305.pdf](http://www.ojp.usdoj.gov/odp/docs/CBP_041305.pdf))

**That list is comprised of the following capabilities:**

### **Common Capabilities**

Planning  
Communications  
Community Preparedness and Participation  
Risk Management  
Intelligence and Information Sharing and Dissemination

### **Prevent Mission Capabilities**

Information Gathering and Recognition of Indicators and Warning  
Intelligence Analysis and Production  
Counter-Terror Investigation and Law  
Enforcement  
CBRNE Detection

### **Protect Mission Capabilities**

Critical Infrastructure Protection  
Food and Agriculture Safety and Defense

Epidemiological Surveillance and  
Investigation  
Laboratory Testing

**Respond Mission Capabilities**

On-Site Incident Management  
Emergency Operations Center Management  
Critical Resource Logistics and Distribution  
Volunteer Management and Donations  
Responder Safety and Health  
Emergency Public Safety and Security  
Animal Disease Emergency Support  
Environmental Health  
Explosive Device Response Operations  
Fire Incident Response Support  
WMD and Hazardous Materials Response and Decontamination  
Citizen Evacuation and Shelter-in-Place  
Isolation and Quarantine  
Search and Rescue (Land-Based)  
Emergency Public Information and Warning  
Emergency Triage and Pre-Hospital Treatment  
Medical Surge; Medical Supplies Management and Distribution  
Mass Prophylaxis; Mass Care (Sheltering, Feeding and Related Services)  
Fatality Management

**Recover Mission Capabilities**

Structural Damage Assessment  
Restoration of Lifelines  
Economic and Community Recovery

(DHS, *Target Capabilities List: A companion to the National Preparedness Guidelines*,  
September 2007)

## **National Strategy for Homeland Security**

Homeland Security is defined as “a concerted national effort to prevent terrorist attacks within the United States, reduce America’s vulnerability to terrorism, and minimize the damage and recovery from attacks that do occur.” (The White House, National Strategy for Homeland Security, 2002)

“The National Strategy for Homeland Security and the Homeland Security Act of 2002 served to mobilize and organize our nation to secure the homeland from terrorist attacks. This is an exceedingly complex mission that requires coordinated and focused effort from our entire society.” (DHS, Securing our Homeland DHS Strategic Plan, 2004)

### Critical Mission Areas:

- Intelligence and Warning
- Border and Transportation Security
- Domestic Counterterrorism
- Protecting Critical Infrastructures and Key Assets
- Defending against Catastrophic Threats
- Emergency Preparedness and Response

## **Appendix MODULE 3, A. Joshua Chamberlain**

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### **The Person**

Let us begin by taking you back to the spring of 1863. After more than two years of bloody and horrific conflict, the Confederate Army, lead by General Robert E. Lee, moves cautiously but at the same time boldly with a committed urgency across the Potomac River into Union territory using the Blue Ridge Mountains to screen their movement. It is an army of 70,000 men. Their focused objective is to lure the Union Army into the open where it could, once and for all, be destroyed. Yielding to this temptation, the Union Army, late in June, 80,000 strong, moves across the narrow farming roads of Maryland into Pennsylvania in pursuit.

General Lee knows that a letter has been prepared by the leadership of the Southern government. A letter which offers peace, but an offer that would have split this country north and south, not just geographically but also philosophically and not just changed this country but would no doubt changed this world as we presently know it. The letter is to be placed on the desk of Abraham Lincoln, the President of the United States, the day after Lee has destroyed the Army of the Potomac somewhere north of Washington. And of course that somewhere “north of Washington” is Gettysburg and would eventually be chronicled as what we now refer to as the Battle of Gettysburg.

Moving with the Army of the Potomac is a 34 year old professor of philosophy from Bowdoin College in Brunswick Maine, Joshua Lawrence Chamberlain. Born on September 8, 1828 in Brewer Maine a farming a shipbuilding community, he was named after James Lawrence the heroic Commodore who immortalized the words, “Don’t give up the ship.” There could not have been a more appropriate moniker on which to predictably describe this remarkable man who would subsequently lead such a remarkable life. Born to a stern, taciturn but fair father and devoutly religious mother, he learned about hard work, persistence, discipline and willpower exercised in a state and time that required such traits just for survival.

Chamberlain’s mother had wanted him to be a theologian, while his father had favored a military career for him. As it turned out they both got their wish. Having been elected professor of rhetoric and oratory in 1856 at Bowdoin College where he had completed a master’s degree and then subsequently a three year course of seminary at Bangor Theological Seminary, he was well suited and prepared for the appointment.

When the war erupted with the firing on Ft. Sumter, two years earlier, Chamberlain’s initial response was not to join the fight although he felt a strong and patriotic urge to serve having previously passed on an appointment to West Point, thinking that there would be little challenge in a peacetime army. Additionally, he looked to the South, and did not feel, as many did, that this upstart southern government had neither the

industrial base nor the population to fight a sustained war. He thought it would amount to a minor insurrection that would be suppressed in a matter of days or at the most weeks. But then he watched for a year as many of the young men he had tutored and mentored at Bowdoin College came home horribly wounded and there were many who came home not at all and he realized that this was not only going to be a protracted war, but a war that threatened the very existence of the hope of so many of that generation for a good and free land for any and all.

Much to the chagrin of his wife, who enjoyed the college life, he volunteered his services. It is at this point, that we begin to realize the strength of his character. He initially requested a leave of absence to join the army. The school refused this request. He then requested a leave of absence to study abroad. Granted the leave, he then immediately pursued the governor's office for a commission. Recognizing his academic credentials, they offered him the rank of colonel and wanted to commission him to command a full regiment. How many of us would have been tempted to accept the commission, rationalizing that as a man of letters, a professor, enjoying social status in his community, would it not be logical that he should maintain that status in his service in the military. Again, we see his strength of character and humility. He asked, "Would it not be better that I learn something of warfare before I lead men into battle?"

So refusing the regimental command, he took a staffing role under a colonel by the name of Adelbert Ames, who was a West Point graduate, a career soldier who had distinguished himself at the first Battle of Bull Run or Manassas as it is known in the south. Chamberlain worked with and was schooled by Ames for nearly a year when Ames was then promoted and Chamberlain given command of the 20th Maine Regiment, who after a year was well under strength at some 250 men.

Over the next two years, Chamberlain would serve in more than 20 engagements, be wounded six times, have horses shot from beneath him five times and finish his service brevetted Major General. He was wounded at Petersburg by a round that passed through both hips. The wound was so severe that surgeons did not, nor did he initially think he would survive. He returned home and once healed returned to the battlefield much to the chagrin of his wife. While he could have remained home and been seen as a hero, he explained to his wife that he could not remain in the comfort of his own bed knowing that young men he had recruited to the Union effort would fight on his behalf and in his absence. He returns to the battlefield although he cannot ride a horse or walk long distances due to the hip wound. He was hospitalized again in December for a month and returns to service without his doctor's knowledge. He continues to campaign through to the Battle of Five Forks where he pushes back the enemy's cavalry and captures a supply train as well as a number of Confederate prisoners. The push continues to Appomattox where he is chosen by General Grant to receive the colors of the Confederacy a rare privilege normally only given to career soldiers. However Grant had received directions from President Lincoln, "...to let them up easy." Those words

were translated to Chamberlain that there should be no fanfare, no cannonade, no Hurrahs! Whereupon Chamberlain and 45,000 Union soldiers greeted their former adversaries with a salute, a salute, and he was very clear on this, not to recognize their cause, but the individual fighting man's sacrifice and commitment.

"Our eyes looking into theirs, was not such a manhood to be welcomed back into a Union, now so tested, but so assured." He offers the first act of grace to these fighting men. We sense that he did hate these men later describing them as men who "responded to the thrilling reveille of cannon that swept the heartstrings of a chivalrous and impressionable people." He now welcomed them back as fellow countrymen. General Gordon, commanding the confederate forces, returned the salute and in his subsequent speeches and memoirs he would refer to Chamberlain as "one of the knightliest soldiers of the Union Army."

Chamberlain finishes out a life in academia, serving as the President of Bowdoin College, ran unopposed four times as Governor of Maine and concluded a successful business career as well. Joshua Lawrence Chamberlain would survive his wife Fanny, who died in 1905; then he passed away on February 24th, 1914 at the age of 86 having died of the war wound that he suffered with for so many years that he had received at Petersburg.

In his latter years, Chamberlain received a letter from a Confederate soldier who fought at Gettysburg and opposed Chamberlain. He informed him, "Twice at Little Round Top I had you in my sights and could have easily killed you. But for some inexplicable reason, I could not pull the trigger." Now many years later, having had the opportunity to evaluate Chamberlain's life and contributions, he concluded, "And I'm so glad that I didn't, I'm so glad that I didn't. And could we not add to that, and so are we!"

### **The Specific Challenge He Overcame**

Approaching the battle of Gettysburg, Colonel Joshua Chamberlain, was now the commander of the 20th Maine. He had been notified that he is to receive 120 soldiers of the former 2nd Maine that has been recently disbanded. Chamberlain is within a day's march of what we now know as the Battle of Gettysburg and realizes that they will soon be engaged in a significant battle that could turn the tide of the war. His ranks have been depleted from what were once a thousand men to that of two-hundred and fifty. He badly needs and can use the manpower. Understand that in that era it was rare to mix regiments. Normally units were raised from the same towns, cities and regions. The men that formed these units had grown up together; attended schools together, worked and harvested crops together and then joined, trained and fought together. To integrate one unit into another would be merging strangers rather than "the band of brothers" that can add so readily to the fighting effectiveness of a unit,

especially during difficult times. But these were unusual times with the threat of the bold move of Lee and his Confederate Army. And these 120 men from the 2nd Maine were delivered to Chamberlain under the most unusual of circumstances.

These 120 soldiers had signed an enlistment for three years. The others of the 2nd Maine that were recently released had only enlisted for two years. Their enlistments up, they had returned home. The remaining 120 thought that they had enlisted to only fight with the 2nd Maine. They now refused to fight and wanted to go home. They are experienced soldiers having been through eleven major engagements. Most are proud, independent men who were farmers, loggers or fishermen from the coast of Maine. Finding out that they could not return with their brethren they refused to fight and laid down their arms. The union refused to feed them and they were delivered to Chamberlain under armed guard. He has been notified that he is to take possession of the 120 as prisoners and if they refuse to fight, he has full authority to shoot each and every mutinous soldier. He realizes that it will take a sizeable number of his own men to just hold the group prisoner. However, if he can convince them to fight, then he will increase his ranks by as much as half.

So here was Chamberlain's great dilemma. He needed them, every single one of them, but who in their right sanity as a commander would put such malcontents at their back in what he knew would probably be the deciding battle of the war. What would you say to them? What would you do? We know the tenor of Chamberlain's argument to them because he wrote well and wrote prolifically.

As best you can, place yourself in the position of one of these men and if this was your introduction to your new leader, what would you have done? And then we will share with you what the men of the 2nd Maine did.

Chamberlain took a deep breath. He bowed his head and folded his hands together behind his back. He began, speaking slowly. "You men gather round. I'm aware of your problem. Well, there is nothing I can do today. We are getting ready to move out pretty soon and we'll be moving all day. I've been ordered to take you men with me. I've been told if you don't come along, I can shoot you. Well, you know I won't do that. Maybe someone else will, but I won't. So that's that. Here is the situation. The whole Reb Army is up that road a ways waiting for us. I tell you this is not the time for an argument like this. We could surely use you fellows. We are well below half strength. Whether you fight or not well that's up to you. Whether you come along..... well you're coming.

You know who we are and what we are doing here, but if you are going to fight along side of us there are some things I would like you to know. This regiment was formed last summer, in Maine. There were a thousand of us then. There are less than 300 of



us now. All of us volunteered to fight for the Union, just as you did. Some came because we were mainly bored at home, thought this looked like it might be fun, some came because we were ashamed not to, many of us came because it was “the right thing” to do. And all of us have seen men die. This is a different kind of army. If you look back through history you will find this hasn’t happened much. You will see some men fighting for pay, for women, for some other kind of loot, for land, power, because a king leads them or just because they like killing. We are here for something different, something new. This has not happened much in the history of the world. We are an army out to set other men free. He bent down and scratched the black dirt into his fingers. He was beginning to warm to his task noticing that the men were listening not moving or looking away.

America should be free ground, all of it, not divided by a line of slave state and free; all the way, from here to the Pacific Ocean. No man has to bow, no man born to royalty. Here we judge you by what you do, not by who your father was. Here you can be something. Here is the place to build a home. But it’s not the land. There is always more land. It’s the idea that we all have value; you and me. What we are fighting for, in the end, we’re fighting for each other.

He had broken through the uneasiness that he had originally felt. There was no longer a barrier there. The words flowed like that of a clear river and he felt the power of his words as they described the power of the 2nd Maine’s forgotten cause. And then he was done. Sorry, I didn’t mean to preach. If you ...go ahead, you talk for awhile. If you agree to join us, you may have your muskets back and nothing more will be said by anyone anywhere. If you choose not to join us..... well when this is all over I’ll see what I can do to see that you get a fair treatment, but for now we are moving out.

Gentlemen, I think if we lose this fight, we lose the war. So if you choose to join us, I will be personally very grateful.”<sup>1</sup> Having addressed them in the manner that he did, 115 of the 120 “mutineers” agreed to fight with the 20th Maine. During the course of the battle, four more picked up their weapons and agreed to fight as well. Chamberlain ends up on the second day of the battle at the far left flank of the Union Army with almost 370 men. And as it turns out, he will need every one of them.

At the Battle of Gettysburg both armies are initially devoid of good intelligence as to the others whereabouts and are forced into battle neither in a place or time of their choosing. Thanks to the bold actions of a Union cavalry general by the name of John Buford the Union is able to force the battle before the Confederate line is set and by luck and happenstance are able to initially control the high ground. However, before the

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day is out Lee is able to move the Union Army and pretty much carry the day. This is one of the rare times that Lee has an army of equal size and strength. His plan on the second day of battle is to determine the far left flank of the Union Army and array a force against that flank that would dramatically outnumber his counterpart, crush the left flank and the Union line and force the Union Army into surrender. Lo and behold” who do you think ends up on the far left of the Union Army, but Chamberlain and his 20th Maine and 119 of the 120 malcontents from the 2nd Maine

It was an unmercifully hot day in July when this battle was fought over some remarkably difficult ground. The forces arrayed against the ‘20th Maine were from 18th Alabama and had never known defeat. They had marched more than 20 miles that morning and had been committed to battle with no food or water. They had attacked once, twice and finally a third time. Chamberlain’s 20th Maine had taken more than 40% casualties. He was out numbered three and four to one. He knew he could not continue to fight a battle of attrition.

Traditional military teaching would direct while in a defensive position, to care for your wounded and redistribute your supplies ammunition and personnel calling for reserves should they be needed. He has done all of those things, but is told there are no reserves available and no additional ammunition is available. Every unit along the line is engaged and has neither reserves nor ammunition to spare. The fighting has been hand-to-hand and he senses that he is outnumbered. He hears the announcement, “Here they come again!” Under his breath he says, “We are running out of people and running out of ammunition.” He now does something that he would never have been taught in a West Point class. He tells his men to “Fix bayonets.” and advises them that he knows that his enemy has to be tired. Upon the next charge he orders his line to anchor and then he orders a sharp left oblique and that they are to swing off the hill much like that of a swinging barnyard gate and they will attack their adversary. The men no doubt sensing that they are outnumbered realize that this may give them a sense of advantage and punish a foe that had so often instead punished them.

As they watched men from the 18th Alabama once more charge up the hill, Chamberlain gives the order to “Fix bayonets!” In Chamberlain’s words, “It electrified the line.” It makes one wonder what the unsuspecting Confederate soldier thought was he watched the 20th Maine flood off that boulder strewn hill. Many of the Confederate soldiers began to retreat and run, run in a panic. Earlier that morning Chamberlain had placed a number of union sharpshooters off to one side to protect his flank. They were positioned so deep in the woods that they had had no targets that morning. As the panicked Confederate soldiers ran, many of them charged toward the union sharpshooters. As the Union sharpshooters began firing on them, with deadly accuracy, many of the Confederate soldiers now believed that they were surrounded and begin surrendering; surrendering, although they outnumbered the Union forces three and four

to one. By breaching their lines he takes prisoners that precluded any subsequent charges on Little Round Top.

Chamberlain was slightly wounded during the action as were many of his soldiers. At the conclusion of the day, it was obvious that Chamberlain's actions had not only saved the day but preserved the Union forces rather than permit a flanking movement that would have likely led to a Union defeat at Gettysburg. Arguably, Gettysburg was the deciding battle of the war; arguably, Little Round Top was the deciding battle of Gettysburg. Arguably Chamberlain's 20th Maine augmented by that of the 2nd Maine was the deciding unit, in the deciding battle of the war. What would have happened had the 20th Maine had a lesser leader who, given written permission, had decided to shoot three or four of the 2nd Maine men as examples. We would have seen a "war within a war" that would have, no doubt, changed the outcome of "the war."

"At the end of the day Chamberlain moved forward and began to climb the big hill in the dark; the hill that would later be known as Little Round Top. As he walked he forgot the pain of his wound; his heart beat quickly, and he felt an incredible joy. He looked at himself, wondering, at the beloved men around him, and said to himself: Lawrence, old son, treasure this moment, because you feel as good as a man can feel. (Gallagher –Westfall, 2007).

## Appendix MODULE 3, B. David Howell Petraeus

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### The Person

**David Howell Petraeus**

Born November 7, 1952



General David Howell Petraeus, USA (born November 7, 1952) is the 10th and current Commander, U.S. Central Command. He previously served as Commanding General, Multi-National Force - Iraq (MNF-I) from January 26, 2007 to September 15, 2008.<sup>[1]</sup> As Commander of MNF-I, Petraeus oversaw all coalition forces in Iraq.<sup>[2][3]</sup> Petraeus assumed his current assignment on October 31, 2008.<sup>[1]</sup>

Petraeus was the General George C. Marshall Award winner as the top graduate of the U.S. Army Command and General Staff College—class of 1983.<sup>[4]</sup> He subsequently earned a M.P.A. degree (1985) and a Ph.D. degree (1987) in International Relations from the Woodrow Wilson School of Public and International Affairs at Princeton University. He later served as Assistant Professor of International Relations at the U.S. Military Academy and also completed a fellowship at Georgetown University. He has a BS from the U.S. Military Academy—class of 1974—from which he graduated as a distinguished cadet (top 5% of his class).

A poll recently conducted by Foreign Policy and Prospect magazines selected Petraeus as one of the world's top 100 public intellectuals.<sup>[5]</sup> And in April of this year, the Static Line Association named Petraeus as its 2008 Man of the Year.<sup>[6]</sup> In 2007, Time named

Petraeus one of the 100 most [influential leaders and revolutionaries](#) of the year as well as one of its four runners up for [Time](#) Person of the Year.<sup>[7][8]</sup> He was also named the second most influential [American conservative](#) by [The Daily Telegraph](#)<sup>[9]</sup> as well as [The Daily Telegraph's](#) 2007 Man of the Year<sup>[10]</sup> and "America's most respected soldier" by [Der Spiegel](#) in 2008.<sup>[11]</sup> In 2005, Petraeus was selected as one of America's top leaders by [US News and World Report](#).<sup>[12]</sup> Some news reports have speculated that Petraeus may have interest in running for the [presidency](#). Despite these accounts, Petraeus has categorically stated that he has no political ambitions.<sup>[13][14][15][16][17][18]</sup>

## Early years

Petraeus was born in Cornwall-on-Hudson, New York, the son of Miriam ([née](#) Howell) and Sixtus Petraeus. His mother was American and his father was a sea captain who had emigrated to the United States from the [Netherlands](#) during the initial phase of [World War II](#).<sup>[19]</sup> Sixtus settled in Cornwall on Hudson, where David Petraeus grew up and graduated from [Cornwall Central High School](#) in 1970. Residents called him '[Peaches](#)' in reference to his often-mispronounced last name<sup>[20]</sup> and the nickname stuck with him as a cadet.<sup>[21]</sup>

Petraeus then went on to the [U.S. Military Academy](#) in nearby [West Point](#). Petraeus was on the intercollegiate soccer and ski teams, was a cadet captain on the brigade staff, and was a "distinguished cadet" academically, graduating in the top 5% of the Class of 1974 (ranked 43rd overall). In the class yearbook, Petraeus was remembered as "always going for it in sports, academics, leadership, and even his social life."<sup>[22]</sup>

Two months after graduation Petraeus married Holly Knowlton, a graduate from Dickinson College and daughter of Army General [William A. Knowlton](#) who was [superintendent](#) of the [U.S. Military Academy](#) (West Point) at the time. They have two grown children, Anne and Stephen.

## Army career

### Education and academia

Petraeus graduated from [West Point](#) in 1974. He returned to the military academy in 1985, after earning the General [George C. Marshall](#) Award as the top graduate of the [U.S. Army Command and General Staff College](#) Class of 1983 at [Fort Leavenworth, Kansas](#). He subsequently earned a [M.P.A.](#) in 1985 and a [Ph.D.](#) in [international relations](#) in 1987 from [Princeton University's](#) [Woodrow Wilson School of Public and International Affairs](#), and served as an Assistant Professor of International Relations at the [U.S. Military Academy](#) from 1985 to 1987. His doctoral dissertation, "The American Military and the Lessons of [Vietnam](#): A Study of Military Influence and the Use of Force in the Post-Vietnam Era," dealt with the influence of the [Vietnam War](#) on military thinking regarding the use of force.<sup>[23]</sup> He also completed a military fellowship at [Georgetown's](#)

[School of Foreign Service](#) in 1994–1995, although he was called away early to serve in Haiti as the Chief of Operations for the UN force there in early 1995.

From late 2005 through February 2007,<sup>[24]</sup> Petraeus served as Commanding General of [Fort Leavenworth](#), Kansas, and the U.S. Army Combined Arms Center (CAC) located there. As commander of CAC, Petraeus was responsible for oversight of the [Command and General Staff College](#) and seventeen other schools, centers, and training programs as well as for developing the Army's doctrinal manuals, training the Army's officers, and supervising the Army's center for the collection and dissemination of lessons learned. During his time at CAC, Petraeus and Marine [Lt. Gen. James N. Mattis](#) jointly oversaw the publication of [Field Manual](#) 3-24, *Counterinsurgency*, the body of which was written by an extraordinarily diverse group of military officers, academics, human rights advocates, and journalists who had been assembled by Petraeus and Mattis.<sup>[25][26]</sup> Additionally, at both Fort Leavenworth and throughout the military's schools and training programs, Petraeus integrated the study of counterinsurgency into lesson plans and training exercises. In recognition of the fact that soldiers in Iraq often performed duties far different than those they trained for, Petraeus also stressed the importance of teaching soldiers how to think as well as how to fight and the need to foster flexibility and adaptability in leaders.<sup>[27][28]</sup>

## Military Operations

### 1970s

Upon his graduation from West Point in 1974, Petraeus was commissioned an infantry officer. After completing Ranger School (Distinguished Honor Graduate and other honors), Petraeus was assigned to the [509th Airborne Battalion Combat Team](#), a light infantry unit in [Vicenza, Italy](#). Ever since, light infantry has been at the core of his career, punctuated by assignments to [mechanized units](#), unit commands, staff assignments, and educational institutions. After leaving the 509th as a [first lieutenant](#), Petraeus began a brief association with mechanized units when he became assistant operations officer on the staff of the 2nd Brigade, [24th Infantry Division \(Mechanized\)](#) at [Fort Stewart, Georgia](#). In 1979, he assumed command of a [company](#) in the same division: Company A, 2nd Battalion, 19th Infantry Regiment (Mechanized), and then served as that battalion's operations officer, a major's position that he held as a junior captain. In 1988–1989, he also served as operations officer to the 3rd Infantry Division (Mechanized)'s [1st Battalion, 30th Infantry Regiment \(Mechanized\)](#) and its 1st Brigade.

### 1980s

In 1981, Petraeus became [aide-de-camp](#) to the Commanding General of the [24th Infantry Division \(Mechanized\)](#).<sup>[29]</sup> He spent the next few years furthering his military and civilian education, including spending 1982-83 at Fort Leavenworth, Kansas; 1983-85 at Princeton; and 1985-87 at West Point. After earning his Ph.D. and teaching at West

Point, Petraeus continued up the rungs of the command ladder, serving as military assistant to Gen. [John Galvin](#), the [Supreme Allied Commander in Europe](#). From there, he moved to the [3rd Infantry Division \(Mechanized\)](#) and then to a post as aide and assistant executive officer to the U.S. Army Chief of Staff, Gen. [Carl Vuono](#), in Washington, D.C.

## 1990s

Upon promotion to lieutenant colonel, Petraeus moved from the office of the Chief of Staff to [Fort Campbell, Kentucky](#), where he commanded the 101st Airborne Division (Air Assault)'s 3rd Battalion, [187th Infantry Regiment](#) from 1991–1993. As battalion commander of the [Iron Rakkasans](#), he suffered one of the more dramatic incidents in his career when, in 1991, he was accidentally shot in the chest during a [live-fire exercise](#) when a soldier tripped and his rifle discharged. He was taken to [Vanderbilt University Medical Center, Nashville, Tennessee](#), where he was operated on by future [U.S. Senator Bill Frist](#). The hospital released him early after he did fifty push ups without resting, just a few days after the accident.<sup>[30][31]</sup>

During 1993–94, Petraeus continued his long association with the 101st Airborne Division (Air Assault) as the division's Assistant Chief of Staff, G-3 (plans, operations and training) and installation Director of Plans, Training, and Mobilization (DPTM). In 1995, he was assigned to the [United Nations](#) Mission in [Haiti](#) Military Staff as its Chief Operations Officer during [Operation Uphold Democracy](#). His next command, from 1995–97, was the 1st Brigade, [82nd Airborne Division](#), centered on the [504th Parachute Infantry Regiment](#). At that post, his brigade's training cycle at [Fort Polk's Joint Readiness Training Center](#) for low-intensity warfare was chronicled by novelist and military enthusiast [Tom Clancy](#) in his book [Airborne](#). From 1997-99 Petraeus served in the Pentagon as Executive Assistant to the Director of the Joint Staff and then to the Chairman of the Joint Chiefs, Gen. [Henry Shelton](#), who described Petraeus as "a high-energy individual who likes to lead from the front, in any field he is going into."<sup>[32]</sup> In 1999, as a [brigadier general](#), Petraeus returned to the 82nd, serving as the assistant division commander for operations and then, briefly, as acting commanding general. During his time with the 82nd, he deployed to [Kuwait](#) as part of [Operation Desert Spring](#), the continuous rotation of combat forces through Kuwait during the decade after the [Gulf War](#).

## 2000s

From the 82nd, he moved on to serve as Chief of Staff of [XVIII Airborne Corps](#) at Fort Bragg during 2000–2001. In 2000, Petraeus suffered his second major injury, when, during a civilian [skydiving](#) jump, his parachute collapsed at low altitude due to a hook turn, resulting in a hard landing that broke his pelvis. He was selected for promotion to [Major General](#) in 2001.<sup>[33]</sup> During 2001–2002, as a brigadier general, Petraeus served a ten-month tour in [Bosnia and Herzegovina](#) as part of [Operation Joint Forge](#). In Bosnia,

he was the [NATO Stabilization Force](#) Assistant Chief of Staff for Operations as well as the Deputy Commander of the U.S. Joint Interagency Counter-Terrorism Task Force, a command created after the September 11 attacks to add a counterterrorism capability to the U.S. forces attached to the NATO command in Bosnia. In 2004, he was promoted to Lieutenant General.<sup>[34]</sup> In 2007, he was promoted to General.<sup>[35]</sup> On April 23, 2008, Secretary of Defense Gates announced that President Bush was nominating General Petraeus to command U.S. Central Command (CENTCOM), headquartered in Tampa, FL. This nomination requires Senate confirmation.<sup>[36]</sup>

## Involvement in the Iraq War

### 101st Airborne Division

In [2003](#), Petraeus, then a Major General, saw combat for the first time when he commanded the 101st Airborne Division during [V Corps's](#) drive to [Baghdad](#). In a campaign chronicled in detail by [Pulitzer Prize](#)-winning author [Rick Atkinson](#) of [The Washington Post](#) in the book *In the Company of Soldiers*, Petraeus led his division through fierce fighting south of [Baghdad](#), in [Karbala](#), [Hilla](#), and [Najaf](#). Following the fall of [Baghdad](#), the division conducted the longest heliborne assault on record in order to reach [Ninawa Province](#), where it would spend much of [2003](#). The 1st Brigade was responsible for the area [south of Mosul](#), the 2nd Brigade for the city itself, and the 3rd Brigade for the region stretching toward the [Syrian](#) border. An often-repeated story of Petraeus's time with the 101st is his asking of embedded [Washington Post reporter Rick Atkinson](#) to "Tell me how this ends,"<sup>[37]</sup> an anecdote he and other journalists have used to portray Petraeus as an early recognizer of the difficulties that would follow the fall of [Baghdad](#).<sup>[38][39][40][41][42][43]</sup>

In [Mosul](#), a city of nearly two million people, Petraeus and the 101st employed classic counterinsurgency methods to build security and stability, including conducting targeted kinetic operations and using force judiciously, jump-starting the economy, building local security forces, staging elections for the city council within weeks of their arrival, overseeing a program of [public works](#), reinvigorating the political process,<sup>[44][45][46]</sup> and launching 4,500 [reconstruction projects](#).<sup>[47]</sup> This approach can be attributed to Petraeus, who had been steeped in nation-building during his previous tours in places like Bosnia and Haiti and thus approached nation-building as a central military mission and who was "prepared to act while the civilian authority in Baghdad was still getting organized," according to Michael Gordon of [The New York Times](#).<sup>[48]</sup> Some Iraqis gave Petraeus the nickname '[King David](#)',<sup>[49][44]</sup> which was later adopted by some of his colleagues.<sup>[50][51][52]</sup> [Newsweek](#) has stated that "It's widely accepted that no force worked harder to win Iraqi hearts and minds than the 101st Air Assault Division led by Petraeus."<sup>[53]</sup>



One of the General's major [public works](#) was the restoration and re-opening of the [University of Mosul](#).<sup>[54][55][56]</sup> Petraeus strongly supported the use of commanders' discretionary funds for public works, telling [Coalition Provisional Authority director L. Paul Bremer](#) "Money is ammunition" during the director's first visit to [Mosul](#).<sup>[57][58]</sup> Petraeus' often repeated<sup>[59][60][61][62]</sup> [catchphrase](#)<sup>[63]</sup> was later incorporated into official military briefings<sup>[64][65]</sup> and was also eventually incorporated into the U.S. Army Counterinsurgency Field Manual drafted with Petraeus's oversight.<sup>[66]</sup>

In February 2004, the 101st was replaced in Mosul by a unit roughly one quarter its size - a Stryker brigade. The following summer, the Governor of Nineveh Province was assassinated and most of the Sunni Arab Provincial Council members walked out in the ensuing selection of the new governor, leaving Kurdish members in charge of a predominantly Sunni Arab province. Later that year, the local police commander defected to the Kurdish Minister of Interior in Irbil after repeated assassination attempts against him, attacks on his house, and the kidnapping of his sister. The largely [Sunni Arab](#) police collapsed under insurgent attacks launched at the same time Coalition Forces attacked Fallujah in November 2004.

There are differing explanations for the apparent collapse of the police force in Mosul. [The Guardian](#) quoted an anonymous US diplomat saying "Mosul basically collapsed after he [Petraeus] left".<sup>[67]</sup> Former diplomat [Peter Galbraith](#), a paid adviser to the Kurdish Regional Government,<sup>[68]</sup> criticized Petraeus's command of the 101st, saying his achievements have been exaggerated and his reputation is inflated.<sup>[69]</sup> He wrote for [The New York Review of Books](#) that "Petraeus ignored warnings from America's [Kurdish](#) allies that he was appointing the wrong people to key positions in Mosul's local government and police."<sup>[70]</sup> On the other hand, in the book *Fiasco*, [Washington Post](#) reporter Tom Ricks wrote that "Mosul was quiet while he (Petraeus) was there, and likely would have remained so had his successor had as many troops as he had--and as much understanding of counterinsurgency techniques." Ricks went on to note that "the population-oriented approach Petraeus took in Mosul in 2003 would be the one the entire U.S. Army in Iraq was trying to adopt in 2006."<sup>[71]</sup> [Time](#) columnist [Joe Klein](#) largely agreed with Ricks, writing that the Stryker brigade that replaced the 101st "didn't do any of the local governance that Petraeus had done." Moving away from counterinsurgency principles, "they were occupiers, not builders."<sup>[72]</sup> [New York Times](#) reporter Michael Gordon and retired General Bernard Trainor echoed Ricks and Klein, including in their book *Cobra II* a quote that Petraeus "did it right and won over Mosul."<sup>[73]</sup>

## Multi-National Security Transition Command - Iraq

In June 2004, less than six months after the 101st returned to the U.S., Petraeus was promoted to lieutenant general and became the first commander of the [Multi-National Security Transition Command Iraq](#). This newly-created command had responsibility for training, equipping, and mentoring Iraq's growing Army, Police, and other security forces as well as developing Iraq's security institutions and building associated infrastructure,

such as training bases, police stations, and border forts. During Petraeus's fifteen months at the helm of MNSTC-I, he stood up a three-star command virtually from scratch and in the midst of serious fighting in places like Fallujah, Mosul, and Najaf. By the end of his command, some 100,000 Iraqi Security Forces had been trained; Iraqi Army and Police were being employed in combat; countless reconstruction projects had been executed; and hundreds of thousands of weapons, body armor, and other equipment had been distributed in what was described as the "largest military procurement and distribution effort since World War II," at a cost of over \$11 billion.<sup>[74]</sup>

In [September 2004](#), Petraeus wrote an article for [The Washington Post](#) in which he described the tangible progress being made in building Iraq's security forces from the ground up while also noting the many challenges associated with doing so. "Although there have been reverses -- not to mention horrific terrorist attacks," Petraeus wrote, "there has been progress in the effort to enable Iraqis to shoulder more of the load for their own security, something they are keen to do."<sup>[75]</sup> Some of the challenges involved in building security forces had to do with accomplishing this task in the midst of a tough insurgency -- or, as Petraeus wrote, "making the mission akin to repairing an aircraft while in flight -- and while being shot at." Other challenges included allegations of corruption as well as efforts to improve Iraq's supply accountability procedures. For example, according to former [Interim Iraq Governing Council](#) member [Ali A. Allawi](#) in *The Occupation of Iraq: Winning the War, Losing the Peace*, "under the very noses of the security transition command, officials both inside and outside the ministry of defense were planning to [embezzle](#) most, if not all, of the procurement budget of the army."<sup>[76]</sup> [The Washington Post](#) stated in [August 2007](#) that [the Pentagon](#) had lost track of approximately 30% of weapons supplied to the Iraqi security forces. The [General Accounting Office](#) said that the weapons distribution was haphazard, rushed, and did not follow established procedures-- particularly from [2004](#) to [2005](#), when security training was led by Petraeus and Iraq's security forces began to see combat in places like Najaf and Samarra.<sup>[77][78]</sup> Over a hundred thousand [AK-47 assault rifles](#) and [pistols](#) were delivered to Iraqi forces without full documentation, and some of the missing weapons may have been abducted by [Iraqi insurgents](#).<sup>[79][80]</sup> Thousands of [body armor](#) pieces have also been lost.<sup>[81]</sup> [The Independent](#) has stated that the military believed "the situation on the ground was so urgent, and the agency responsible for recording the transfers of arms so short staffed, that field commanders had little choice in the matter."<sup>[82]</sup> The Pentagon conducted its own investigation, and accountability was subsequently regained for many of the weapons.<sup>[83]</sup>

Following his second tour in Iraq, Petraeus authored a widely-read article in *Military Review*, listing fourteen observations he had made during two tours in Iraq, including: do not do too much with your own hands, money is ammunition, increasing the number of stakeholders is critical to success, success in a counterinsurgency requires more than just military operations, ultimate success depends on local leaders, there is no substitute for flexible and adaptable leaders, and, finally, a leader's most important task is to set the right tone.<sup>[84]</sup>

## Multi-National Force - Iraq (Spring 2007)

In January 2007, as part of his overhauled Iraq strategy, President [George W. Bush](#) announced that Petraeus would succeed Gen. George Casey as commanding general of MNF-I to lead all U.S. troops in Iraq. On [January 23](#), the [Senate Armed Services Committee](#) held Petraeus's nomination hearing, during which he testified on his ideas for Iraq, particularly the strategy underpinning the "[surge](#)" of forces. During his opening statement, Petraeus stated that "security of the population, especially in Baghdad, and in partnership with the Iraqi Security Forces, will be the focus of the military effort." He went on to state that security will require establishing a persistent presence, especially in Iraq's most threatened neighborhoods. He also noted the critical importance of helping Iraq increase its governmental capacity, develop employment programs, and improve daily life for its citizens.<sup>[85]</sup>

Throughout Petraeus's tenure in Iraq, [Multi-National Force-Iraq](#) has endeavored to work with the [Government of Iraq](#) to carry out this strategy that focuses on securing the population. Doing so has required establishing -- and maintaining -- this persistent presence by living among the population, separating reconcilable Iraqis from irreconcilable enemies, relentlessly pursuing the enemy, taking back sanctuaries and then holding areas that have been cleared, and continuing to develop Iraq's security forces and to support local security forces, often called Sons of Iraq, and to integrate them into the Iraqi Army and Police and other employment programs.<sup>[86][87][88]</sup>

The strategy underpinning the "surge" of forces, as well as the ideas Petraeus included in FM 3-24, have been referred to by some journalists and politicians as the "Petraeus Doctrine," although the surge itself was proposed a few months before Petraeus took command. Despite the misgivings of most Democratic and a few Republican senators over the proposed implementation of the "Petraeus Doctrine" in Iraq, specifically regarding the troop surge, Petraeus was unanimously confirmed as a four-star general and MNF-I commander on [January 27](#).<sup>[89][90]</sup>

Before leaving for Iraq, Petraeus recruited a number of highly educated military officers, nicknamed "Petraeus guys" or "designated thinkers," to advise him as commander, including Col. Mike Meese, head of the Social Sciences Department at West Point and Col. [H.R. McMaster](#), famous for his leadership at the [Battle of 73 Easting](#) in the Gulf War and in the pacification of [Tal Afar](#) more recently, as well as for his doctoral dissertation on Vietnam-era civil-military relations entitled [Dereliction of Duty](#). While most of Petraeus's closest advisers are American military officers, he also hired Lt. Col. [David Kilcullen](#) of the [Australian Army](#), who was working for the [US State Department](#).<sup>[91]</sup>

Since taking command of MNF-I on [February 10, 2007](#), Petraeus has inspected U.S. and Iraqi units all over Iraq, visiting outposts in greater [Baghdad](#), [Tikrit](#), [Baquba](#), [Ramadi](#), [Mosul](#), [Kirkuk](#), [Bayji](#), [Samarra](#), [Basrah](#) and as far west as al-Hit and Al Qaim.

In April 2007, Petraeus made his first visit to Washington as MNF-I Commander, reporting to President Bush and Congress on the progress of the "surge" and the overall situation in Iraq. During this visit he met privately with members of Congress and reportedly argued against setting a timetable for U.S. troop withdrawal from Iraq.<sup>[92]</sup>

By late May 2007, Congress did not impose any timetables in war funding legislation for troop withdrawal.<sup>[93]</sup> The enacted legislation did mandate that Petraeus and U.S. Ambassador to Iraq, [Ryan Crocker](#), deliver a report to Congress by September 15, 2007, detailing their assessment of the military, economic and political situation of Iraq.

In June 2007, Petraeus stated in an interview that there were "astonishing signs of normalcy" in Baghdad, and this comment drew criticism from Senate majority leader [Harry Reid](#). In the same interview, however, Petraeus stated that "many problems remain" and he noted the need to help the Iraqis "stitch back together the fabric of society that was torn during the height of sectarian violence" in late 2006.<sup>[94][95]</sup> Petraeus also warned that he expected that the situation in Iraq will require the continued deployment of the elevated troop level of more than 150,000 beyond September 2007; he also has stated that U.S. involvement in Iraq could last years afterward.<sup>[96]</sup> These statements are representative of the fact that throughout their time in Iraq, Petraeus and Crocker have remained circumspect and refused to classify themselves as optimists or pessimists, noting, instead, that they are realists and that the reality in Iraq is very hard. They have also repeatedly emphasized the importance of forthright reports and an unvarnished approach.<sup>[97][98]</sup>

### Multi-National Force - Iraq (Summer and Fall 2007)

In [July 2007](#), the [White House](#) submitted to Congress the [interim report on Iraq](#), which stated that coalition forces had made satisfactory progress on 6 of 18 benchmarks set by Congress. On [September 7, 2007](#), in a letter addressed to the troops he was commanding, Petraeus wrote that much military progress had been made, but that the national level political progress that was hoped for had not been achieved.<sup>[99]</sup> Petraeus' [final report](#) on Iraq was delivered to Congress on [September 10, 2007](#).

On [August 15, 2007](#), [The Los Angeles Times](#) stated that, according to [unnamed administration officials](#), the report "would actually be written by the [White House](#), with inputs from officials throughout the government."<sup>[100]</sup> However, Petraeus declared in his testimony to Congress that "I wrote this testimony myself." He further elaborated that his testimony to Congress "has not been cleared by, nor shared with, anyone in the Pentagon, the White House, or Congress."<sup>[101][102]</sup>

In his September Congressional testimony, Petraeus stated that "As a bottom line up front, the military objectives of the surge are, in large measure, being met." He cited numerous factors for this progress, to include the fact that Coalition and Iraqi Forces had dealt significant blows to Al-Qaeda Iraq and had disrupted Shia militias, that ethno-

sectarian violence had been reduced, and that the tribal rejection of Al-Qaeda had spread from Anbar Province to numerous other locations across Iraq. Based on this progress and additional progress expected to be achieved, Petraeus recommended drawing down the surge forces from Iraq and gradually transitioning increased responsibilities to Iraqi Forces, as their capabilities and conditions on the ground permitted.<sup>[103]</sup>

[Democratic Senate Majority Leader Harry Reid](#) of [Nevada](#) argued Petraeus' "plan is just more of the same" and "is neither a drawdown or a change in mission that we need." Democratic [Representative Robert Wexler](#) of [Florida](#) accused Petraeus of "[cherry-picking](#) statistics" and "massaging information".<sup>[104]</sup> Chairman of the [House Foreign Affairs Committee Tom Lantos](#) of [California](#) called the General and [U.S. Ambassador to Iraq Ryan Crocker](#) "Two of our nation's most capable [public servants](#)" and said Democrats feel "esteem for their [professionalism](#)." He also said that "We can no longer take their assertions on Iraq at [face value](#)"; concluding, "We need to get out of Iraq, for that country's sake as well as our own."<sup>[105]</sup>

[Republican](#) Presidential candidate [Duncan Hunter](#) called the report "a candid, independent assessment given with integrity".<sup>[106]</sup> Republican Senator [Jon Kyl](#) of [Arizona](#) stated that "I commend General Petraeus for his honest and forthright assessment of the situation in Iraq."<sup>[107]</sup> [Anti-war](#) Republican Senator [Chuck Hagel](#) of [Nebraska](#) criticized the report while praising Petraeus, saying "It's not your fault, general... It's not [Ambassador Crocker](#)'s fault. It's this administration's fault."<sup>[108]</sup> A [USA Today/Gallup poll](#) taken after Petraeus' report to Congress showed virtually no change in public opinion toward the war.<sup>[109]</sup> A [Pew Research Center](#) survey found that most Americans who have heard about the report approve of Petraeus' recommendations.<sup>[110]</sup>

On [September 20](#), the Senate passed an amendment by Republican [John Cornyn III](#) of [Texas](#) designed to "strongly condemn personal attacks on the honor and integrity of General Petraeus". Cornyn drafted the amendment in response to a [controversial full-page ad](#) by the liberal group [Moveon.org](#) in the [September 10, 2007](#) edition of [The New York Times](#). All forty-nine Republican Senators and twenty-two Democratic Senators voted in support.<sup>[111]</sup> The House passed a similar resolution by a 341-79 vote on September 26.<sup>[112]</sup>

In December 2007, [The Washington Post](#)'s "[Fact Checker](#)" stated that "While some of Petraeus's statistics are open to challenge, his claims about a general reduction in violence have been borne out over subsequent months. It now looks as if Petraeus was broadly right on this issue at least".<sup>[113]</sup>

Based on the conditions on the ground, in October 2007, Petraeus and [U.S. Ambassador to Iraq Ryan Crocker](#) revised their campaign plan for Iraq. In recognition of the progress made against Al Qaeda Iraq, one of the major points will be "shifting the U.S. military effort to focus more on countering [Shiite militias](#)".<sup>[114]</sup>

## Multi-National Force - Iraq (Spring 2008)

On February 18, 2008, [USA Today](#) stated that "the U.S. effort has shown more success" and that, after the number of troops reached its peak in fall 2007, "U.S. deaths were at their lowest levels since the 2003 invasion, civilian casualties were down, and street life was resuming in Baghdad."<sup>[115]</sup> In light of the significant reduction in violence and as the surge brigades began to redeploy without replacement, Petraeus characterized the progress as tenuous, fragile, and reversible and repeatedly reminded all involved that much work remains to be done.<sup>[116][117]</sup> During an early February trip to Iraq, Defense Secretary [Robert Gates](#) endorsed the idea of a period of consolidation and evaluation upon completion of the withdrawal of surge brigades from Iraq.<sup>[118]</sup>

Petraeus and Crocker continued these themes at their two full days of testimony before Congress on April 8th and 9th. During his opening statement, Petraeus stated that "there has been significant but uneven security progress in Iraq," while also noting that "the situation in certain areas is still unsatisfactory and that innumerable challenges remain" and that "the progress made since last spring is fragile and reversible." He also recommended a continuation of the drawdown of surge forces as well as a 45-day period of consolidation and evaluation after the final surge brigade has redeployed in late July.<sup>[119]</sup> Analysts for [USA Today](#) and [The New York Times](#) stated that the hearings "lacked the suspense of last September's debate," but they did include sharp questioning as well as both skepticism and praise from various Congressional leaders.<sup>[120][121]</sup>

In late May 2008, the [Senate Armed Services Committee](#) held nomination hearings for Petraeus and [Lieutenant General Ray Odierno](#) to lead [United States Central Command](#) and [Multi-National Force-Iraq](#), respectively. During the hearings, Committee Chairman [Carl Levin](#) praised these two men, stating that "we owe Gen. Petraeus and Gen. Odierno a debt of gratitude for the commitment, determination and strength that they brought to their areas of responsibility. And regardless of how long the administration may choose to remain engaged in the strife in that country, our troops are better off with the leadership these two distinguished soldiers provide."<sup>[122]</sup> During his opening statement, Petraeus discussed four principles that would guide his efforts if confirmed as [CENTCOM](#) Commander: seeking to strengthen international partnerships; taking a "whole of government" approach; pursuing comprehensive efforts and solutions; and, finally, both supporting efforts in Iraq and Afghanistan and ensuring readiness for possible contingency operations in the future. Petraeus also noted that during the week before his testimony, the number of security incidents in Iraq was the lowest in over four years.<sup>[123]</sup> After Petraeus's returned to Baghdad, and despite the continued drawdown of surge forces as well as recent Iraqi-led operations in places like Basra, Mosul, and Baghdad, the number of security incidents in Iraq remained at their lowest level in over four years.<sup>[124]</sup>

## Multi-National Force - Iraq (Summer and Fall 2008)

In September 2008, Petraeus gave an interview to [BBC News](#) stating that he does not think using the term "victory" in describing the Iraq war is appropriate, saying "This is not the sort of struggle where you take a hill, plant the flag and go home to a victory parade... it's not war with a simple slogan."<sup>[125]</sup>

Petraeus had discussed the term 'victory' before in March 2008, saying to [NPR News](#) that "an Iraq that is at peace with itself, at peace with its neighbors, that has a government that is representative of — and responsive to — its citizenry and is a contributing member of the global community" could arguably be called 'victory'.<sup>[126]</sup> On the eve of his change of command, in September 2008, Petraeus stated that "I don't use terms like victory or defeat... I'm a realist, not an optimist or a pessimist. And the reality is that there has been significant progress but there are still serious challenges."<sup>[127]</sup>

## Change of Command

On September 16, 2008, Petraeus formally gave over his command in Iraq to General [Raymond T. Odierno](#) in a government ceremony presided by Defense Secretary [Robert Gates](#).<sup>[127]</sup> During the ceremony, Gates stated that Petraeus "played a historic role" and created the "translation of a great strategy into a great success in very difficult circumstances". Gates also told Petraeus he believed "history will regard you as one of our nation's greatest battle captains."<sup>[127]</sup> He presented Petraeus with the [Defense Distinguished Service Medal](#).<sup>[127]</sup> At the event, Petraeus mentioned the difficulty in getting the [Sons of Iraq](#) absorbed in the central [Government of Iraq](#) and warned about future consequences if the effort stalls.<sup>[127]</sup> Indeed, when speaking of these and other challenges, Petraeus is the first to note that "the gains [achieved in Iraq] are tenuous and unlikely to survive without an American effort that outlasts his tenure." Even so, as Petraeus departed in Iraq, it was clear to all that he was leaving a much different Iraq than the one that existed when he took command in February 2007. As described by Dexter Filkins, "violence has plummeted from its apocalyptic peaks, Iraqi leaders are asserting themselves, and streets that once seemed dead are flourishing with life."<sup>[128]</sup>

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## Appendix MODULE 4, A. Rudy Giuliani

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### Giuliani named Time's Person of Year

December 26, 2001 Posted: 3:02 PM EST (2002 GMT)



**NEW YORK (CNN) --** Outgoing New York Mayor Rudy Giuliani, who rallied his city after the September 11 terrorist attacks and helped nurture its recovery, said Sunday he is honored to be selected Time magazine's Person of the Year for 2001.

But he said the distinction is simply an acknowledgment of the incomparable spirit of New York in the aftermath of the attacks.

"I want to say that I was very humbled and very moved by the selection by Time magazine," Giuliani said. "I want to express my appreciation, not only personal, for the people of the city of New York because I believe I wasn't selected.

"I believe the people of the city of New York were selected as the people of the year, because of the very brave and heroic way in which they responded from the first moment to the worst attack on the United States ever in our history."

Giuliani, 57, who leaves office next month after two consecutive terms in office, has been praised worldwide for his performance in the aftermath of the attacks, even receiving an honorary knighthood from Queen Elizabeth II in October for his efforts.

His popularity soared after the attacks, with many in the city suggesting he stay on for a third consecutive term, something barred by law. A Time/CNN poll found 68 percent of respondents want to see him go on to the U.S. Senate or the governorship.

There had been wide speculation that Osama bin Laden would be named Person of the Year, a designation not meant as an award but to mark the person or persons who most affected the news of the year.

"Though we spent hours debating the pros and cons of naming Osama bin Laden, it ultimately became easy to dismiss him," said managing editor Jim Kelly. "He is not a larger-than-life figure with broad historical sweep ... he is smaller than life, a garden-variety terrorist whose evil plan succeeded beyond his highest hopes."

Time chose Giuliani "because of his courage on September 11 and afterwards, because a very human man showed superhuman strengths at a time when the entire country was being tested," Kelly said.

"He showed the way out of our despair, and gave us the emotional armor to get up every day and get on with our lives," Kelly said. "He led by emotion, not just by words and actions."

Giuliani said he simply tried to be optimistic.

"When I said the city would be stronger, I didn't know that. I just hoped it," Giuliani said. "There are parts of you that say, 'Maybe we're not going to get through this.' You don't listen to them."

Born May 29, 1944 in Brooklyn, the grandson of Italian immigrants, Giuliani "learned a strong work ethic and a deep respect for America's ideal of equal opportunity," according to his official biography.

He attended high school in Brooklyn and graduated from Manhattan College in 1965. Three years later, he graduated magna cum laude from University Law School in Manhattan.

His first job as clerk for a U.S. district judge began his long career in law and politics. He later joined the office of the U.S. attorney, and in 1975 was recruited to Washington, where he was named associate deputy attorney general and chief of staff to the deputy attorney general.

In 1977, he returned to New York to practice law at Patterson, Belknap, Webb and Tyler.

In 1981, Giuliani was named associate attorney general, the third-highest position in the Justice Department, where he supervised all of the U.S. Attorney Office's federal law enforcement agencies, the Bureau of Corrections, the Drug Enforcement Agency, and the U.S. Marshals.

Giuliani was appointed U.S. attorney for the Southern District of New York -- where he began his career -- in 1983. He prosecuted drug dealers, organized crime, and government corruption, resulting in more than 4,000 convictions.

He ran for mayor for the first time in 1989, losing by the closest margin in city history.

In 1993 he ran again, focusing his campaign on the issues of quality of life, crime, business, and education, and was elected the 107th mayor of the New York. He was re-elected four years later by a wide margin, carrying four out of New York's five boroughs.

Giuliani is barred by law from seeking a third consecutive term in office. At one point after the terrorist attacks, he asked the mayoral candidates to allow him to remain in office an extra three months so he could ease the transition during the aftermath -- but the suggestion stirred opposition and Giuliani dropped the request.

Businessman Michael Bloomberg, a Republican, will take over as mayor next month.

(Retrieved from <http://archives.cnn.com/2001/US/12/23/giuliani.time/index.html>,  
December 18, 2008)

## Appendix MODULE 5, A. Tom Ridge, Secretary of the Department of Homeland Security



### The Person

#### Developed Strong Work Ethic

The oldest of three children, Ridge was born in Munhall, Pennsylvania, a small suburb of Pittsburgh in the state's fabled Steel Valley, on August 26, 1946. His father, who was serving in the Navy at the time of his first child's birth, was a veteran who later worked as a traveling meat salesman. Beginning in 1948 the family lived in housing for veterans that the government provided in Erie, Pennsylvania. As a youth, Ridge was exposed early to politics and rhetoric, since his mother was a staunch Republican and his father an avid Democrat.

Ridge attended the local Roman Catholic schools, serving as an altar boy at church and proving himself both a gifted student and athlete. In particular, he excelled at the art of debate. His work in high school earned him a partial scholarship to Harvard University, and he worked in construction to make up the remainder of his tuition. Ridge graduated with a bachelor of arts degree in government studies and honors in 1967.

#### Law Career Interrupted by War

Determining that his future lay in the legal profession, Ridge enrolled in Pennsylvania State University's Dickinson School of Law in Carlisle, Pennsylvania. However, he had barely begun his studies there when he was drafted in 1970 to serve in the Army as a staff sergeant in Vietnam. He soon saw combat, and performed his duties with characteristic responsibility and diligence. Ridge was later presented with a Bronze Star for leading an offensive that forced enemy Vietcong from a strategic area. Ridge, like many of his fellow Americans who fought in Vietnam, was a changed man when he returned to the United States after a ruptured appendix ended his tour of duty early. A friend recalled that Ridge seemed more cautious in general.

After his discharge, Ridge returned to the Dickinson School and graduated with his law degree in 1972. He established a small, private practice and then from 1979 to 1981 prosecuted 86 cases serving as an assistant district attorney for Erie County.

### **Started New Career in Politics**

Meanwhile, Ridge had become increasingly active in Republican Party politics. In 1982, he ran successfully for a seat in the U.S. Congress, becoming the first enlisted person who had served in the Vietnam War to be elected to the House of Representatives. He served six consecutive terms there, easily winning each election. Not one to blindly follow the party line, Ridge built a somewhat mixed voting record by backing some liberal causes. These included increasing spending for homeless veterans and more research on post-traumatic stress syndrome, which afflicted so many of the men he fought alongside in the war. In all, he was regarded as a moderate, and garnered a reputation for his ability to charm key people while working quietly behind the scenes. Colleagues in the House later recalled that Ridge had excellent interpersonal skills and a high degree of political aptitude.

Ridge parlayed his popularity and success as a U.S. representative into a 1994 bid to become the forty-third governor of Pennsylvania, winning the contest hands down with a promise to make Pennsylvania "a leader among states" and to cut taxes significantly. He took office on January 1, 1995, and over the course of one-and-a-half terms did indeed cut taxes every year. In addition, many of his supporters - and even some of his detractors - called his electricity deregulation plan a national model for slashing rapidly rising utility rates. Ridge initiated programs to build the state's advanced computing and life sciences industries to help bring in what he called the "jobs of the future," taking an aggressive stance on technology to foster Pennsylvania's economic, health, education, and environmental advances. His social agenda also included reform of the national welfare system.

### **Made Name as Moderate Republican**

As governor, Ridge enacted the Education Empowerment Act to benefit some 250,000 children in Pennsylvania's poorest-performing schools, and his administration raised by 145 percent the number of children who received low-cost or free healthcare through the state's Children's Health Insurance Program. Ridge also won kudos for his Land Recycling Program and passage of the \$650 million "Growing Greener" initiative, which made Pennsylvania the nation's largest environmental investor ever.

Perhaps the most controversial point of Ridge's run as governor was his pro-choice stance on abortion, which surprised many people because of his Catholic upbringing. He also strongly opposed Affirmative Action and spoke out against changes to existing civil rights laws, including the legalization of gay marriage. He was perceived as being tough on crime as well, and held a special legislative session that eventually resulted in

a "three-strike" law and an expedited death penalty process. During his time as governor, Ridge signed more than 200 death warrants - more than five times the total signed by his two successors over the previous 25 years. Two of the warrants were for African American activist and journalist Mumia Abu-Jamal. The governor also passed a bill requiring trigger locks on guns and another making it a felony for a convicted felon to own a gun.

### **Resigned as Governor to Accept Homeland Defense Leadership**

Ridge's tenure as governor of Pennsylvania was cut short by the terrorist bombings of the World Trade Center in New York City on September 11, 2001. As reports continued to flood the media of thousands of people killed and missing, President George W. Bush appointed Ridge assistant to the president for the Office of Homeland Defense. The Office had been quickly created on September 20 in the aftermath of the attacks, and Bush bestowed Ridge with the authority to supervise and coordinate U.S. efforts to prevent any further terrorist threats or actions.

Ridge, who would have been legally required to step down as governor of Pennsylvania after his second term ended in early 2003, accepted the appointment after two days of intense talks with the Bush administration. Following a midnight press conference during which the appointment was announced and Ridge said he would resign as governor on October 5, 2001, he dove into the organization and leadership of what would become the second-largest federal agency after the Pentagon.

Although he had been a popular governor and had won acclaim for many of his programs, Ridge was suddenly more in the national spotlight than he had ever been. He had been rumored to be considering a run for the presidency, and had also been a candidate for Bush's running mate in the 2000 election, although his pro-choice stance on abortion made him unattractive to many right-wingers.

When Bush announced his appointment of Ridge to head the homeland security effort, the president commended him as reported on ABCNEWS.com as "a military veteran, an effective governor, a true patriot, [and] a trusted friend." Bush declared Ridge to be "the right man for this new and great responsibility." Ridge, who moved into his new office on October 8, 2001 with a staff of almost 100 officials and about a dozen of his own employees, had the added benefit of strong friendships with Vice President Dick Cheney and former President George Bush, for whose 1980 election campaign Ridge had volunteered.

In a speech shortly after taking office as homeland security advisor, Ridge said he was "saddened that this job is even necessary. But it *is* necessary, so I will give it everything I have," reported the BBC News Website. The former governor announced his belief that citizens would be much safer with the coordination of local, state, and federal emergency and law enforcement efforts, but cautioned that al Qaeda, the group

responsible for the September 11 attacks, and other terrorist groups remained an active threat to the country. Ridge also said he took the attacks personally, since one of the hijacked aircraft, Flight 93, crashed to the ground in Pennsylvania after passengers thwarted the terrorists' apparent plans to destroy the White House with it. Ridge expressed confidence in the country's law enforcement agencies, but warned, "There may be gaps in the system. The job of the Office of Homeland Security will be to identify those gaps and work to close them. The size and scope of this challenge are immense."

### **Promoted to Secretary of New Department of Homeland Security**

On November 25, 2002, Bush (despite his initial opposition to the idea) signed into law a bill creating the Homeland Security Department (HSD), naming Ridge as the first U.S. secretary of Homeland Security—a Cabinet-level position. Congress approved his nomination, and Ridge became responsible for heading the largest reorganization of the government since the Department of Defense was created in 1947. He was sworn in to the position on January 24, 2003 and immediately became one of only a few elite officials who attended top-level daily war council meetings with the president.

Ridge's main task initially was, as he told ABCNEWS.com, "to restructure government in a 21st-century way to deal with the new threat." The scope of the job was staggering: creation of the HSD entailed amalgamating 22 existing government agencies with about \$40 billion in combined budgets and 170,000 employees. Such agencies as Border Patrol, the Coast Guard, the Customs Department, the new Transportation Security Administration, and the Immigration and Naturalization Service were to be drawn into the new department, which would also gather information on terrorist threats from the Federal Bureau of Investigation (FBI) and the Central Intelligence Administration (CIA).

Under Ridge's ministrations, the HSD fortified the nation's borders, analyzed massive amounts of intelligence for clues that could prevent terrorist acts or lead to the capture of terrorist leaders, and worked to develop comprehensive response and recovery programs to be implemented in the event of further attacks. However, critics of the department's creation continued to complain that the country could not afford to spend the months - some experts said years - that it would take to complete the organization's setup. Criticism also worsened for the Patriot Act, a key piece of legislation for the HSD that was passed with little input from an American public still in shock, and that Bush had signed into law in October 2001. The administration had hailed the legislation as a means to give law enforcement personnel more access to information that might lead to the apprehension of terrorists, but civil rights advocates condemned the Patriot Act as the legalization of invasive government prying into private civilian matters. One of the most controversial provisions of the act is that bookstore owners and librarians must, if the government can show probable cause, turn over information on an individual's reading and Internet habits.

As leader of the HSD, Ridge also came under fire from numerous quarters in December 2003 when he suggested that the 8-12 million illegal immigrants then living in the United States be permitted to become citizens. His purpose, Ridge's spokesperson later announced, in making the comment was to "acknowledge a practical problem" concerning the huge number of illegal immigrants in the country and to address increasing pressure in Congress to change what many perceived as ineffective ways of dealing with the issue. Ridge's critics denounced the comment and urged the secretary to find ways to enforce existing immigration laws and to deport those who violate them.

Aside from these sticking points, Ridge and the HSD enjoy support from conservative Americans, although many liberals continue to criticize the department and many of its actions. In March 2004, Bush announced that he would triple the department's original 2001 budget to about \$30.5 billion. Under Ridge's leadership, one of the HSD's prime goals for the near future is to establish Project BioShield, a program that will help Americans defend against possible terrorist use of bioweapons such as anthrax and smallpox.

Ridge and his wife Michelle (née Moore), a former Erie County Library executive director, married in 1979 and have two adopted children, Tommy and Lesley. (<http://www.foxnews.com>)



## Appendix MODULE 6, A. Themistocles

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### The Person

Themistocles was the son of Neocles, an Athenian of no distinction and moderate means, his mother being a Carian or a Thracian, Abrotonum by some accounts. Little is known of his early years, but many authors resort to the myth that he was unruly as a child and was consequently disowned by his father (e.g. Libanius Declamations 9 and 10; Aelian; Cornelius Nepos "Themistocles"). Thucydides, a well-respected historian who was born around the time of Themistocles' death, described him in the following terms: "Themistocles was a man who most clearly presents the phenomenon of natural genius... to a quite extraordinary and exceptional degree by sheer personal intelligence, without either previous study or special briefing, he showed both the best grasp of an emergency situation at the shortest notice, and the most far-reaching appreciation of probable future developments." But, Plutarch, a Greek historian, described that he was power-hungry and willing to use any means to gain both personal and national prestige.

### The Politician

As the ruler (archon) of Greece in 493 BC, he convinced the Athenians that a powerful fleet was needed to protect them against the Persians. Themistocles advocated a policy of naval expansion while Aristides, a rival, represented the interests of the "hoplite" or traditional land-based military establishment. Athens' traditional enemy, Aegina, had a powerful navy while the danger of a renewed Persian invasion was well known. The Persians had recently subjugated the Ionian Greeks who were known for developing a new three level warship known as the "Trireme" which was destined to change naval warfare for years to come. Themistocles successfully persuaded the Athenian Assembly to build an additional 100 or 200 Triremes and to continue his work of fortifying the harbors of Piraeus funded primarily from a newly-discovered rich vein of silver at Laureion.

The death of Miltiades, the hero of the Battle of Marathon, left a political void filled by Themistocles and Aristides "the Just", with whom he had fought with against the Persians. Themistocles prevailed in 483 BC–482 BC by arranging the ostracism of Aristides. After the second Persian war, he persuaded the Athenians to rebuild the walls of the city on a vastly larger scale than had existed before. This aroused uneasiness in Sparta. So the Spartan faction in Athens undermined him and in 470 BC he was ostracized or expelled from the city-state of Athens for ten years. He moved to Argos, but the Spartans forced his expulsion from there in 467 BC. He eventually travelled to Persia where king Artaxerxes I made him governor of Magnesia, known today as the southeastern area of Thessaly, in central Greece. There he spent the rest of his life.

Historians credit Themistocles as being Athens leader in 483 BC–482 BC at the time when this naval program began. Dionysius of Halicarnassus places his leadership in 493-92, which may be more likely: Arguably at the year prior to the invasion of Xerxes Themistocles was the most influential politician in Athens, if not in Greece. Though the Greek fleet was nominally under the control of the Spartan Eurybiades, Themistocles caused the Greeks to fight the indecisive Battle of Artemisium, and more, it was he who brought about the Battle of Salamis, by his threat that he would lead the Athenian army to found a new home in the West, and by his seemingly treacherous message to Xerxes, whose fleet was lured into the channel between Salamis and the mainland and crushed at the same time Leonidas staged his historic stand at Termopylae.

At Themistocles' encouragement, this left the Athenians free to restore their ruined city. He advocated a larger and more fortified Athens. This alarmed Sparta on the grounds that it was dangerous to Greece that there should be any citadel north of the Isthmus of Corinth which an invader might hold. The Spartans urged against this, but Themistocles forestalled Spartan action by means of a visit to Sparta that allowed diplomatic delays and subterfuges and enabled the work to be carried sufficiently near to completion to make the walls defensible. He also carried out his original plan of making Piraeus a real harbor and fortress for Athens. Athens thus became the finest trade centre in Greece, and this, along with Themistocles' remission of the alien's tax, induced many foreign business men to settle in Athens.

After the crisis of the Persian invasion Themistocles and Aristides, a former foe, appear to have made up their differences. But Themistocles soon began to lose the confidence of the people, partly due to his arrogance (it is said that he built near his own house a sanctuary to Artemis, the daughter of Zeus and Leto and the twin sister of Apollo, and partly due to his alleged readiness to take bribes. Diodorus and Plutarch both refer to some accusation leveled against him, and at some point between 476 BC and 471 BC he was ostracized. He retired to Argos, but the Spartans further accused him of treasonable intrigues with Persia, and he fled to Corcyra, thence to Admetus, king of Molossia, and finally to Asia Minor. He was proclaimed a traitor at Athens and his property was confiscated, though his friends saved him some portion of it.

Eventually, Artaxerxes I, successor of Xerxes I, offered Themistocles asylum. He was well received by the Persians and was made governor of Magnesia on the Maeander River in Asia Minor (modern Turkey). The revenues (50 talents) of this town were assigned to him for bread, those of Myus for condiments, and those of Lampsacus for wine. His death at Magnesia, at the age of sixty-five, was due to illness according to Thucydides, although Thucydides also tells us of a rumor that Themistocles, finding that he could not keep the promises that he had made to Xerxes, may have taken poison (book I, 138). It was said that his bones were secretly transferred to Attica. He was worshiped by the Magnesians as a god, as depicted on a coin on which he is shown

with a patera in his hand and a slain bull at his feet (hence perhaps the legend that he died from drinking bull's blood).

Though many Greeks considered that his end was discreditable there is no doubt that his services to Athens and to Greece were great. He created the Athenian fleet and with it the possibility of the Delian League, which became the Athenian empire, and there are indications (e.g. his plan of expansion in the west) that the later imperialist ideal originated with him. He was a man of grand plans whose patriotism later became confused with his own advancement. He was convinced that only he could realize the dream of a great Athenian empire.

### **The Warrior**

Themistocles military career presumably began as the commander (strategos) of his tribe at the Battle of Marathon against the Persians. According to Herodotus, the Greek general, Miltiades, decided to move against the Persians very early in that morning that day of the battle. He ordered two tribes that were forming the center of the Greek formation, the Leontis tribe led by Themistocles and the Antiochis tribe that was led by Aristides, to be arranged in the depth of 4 ranks while the rest of the tribes in the sides were in 8 men ranks. The distance between the two armies had narrowed to a distance not less than 8 stadia or about 1,500 meters, which they covered running shouting their war cry, "Ελελευ! Ελελευ!" (Eleleu, Eleleu), much to the surprise on the Persians. The Battle of Marathon was a great victory for the Greeks and their first against the Persians on land.

During the Persian War when Xerxes I invaded Greece, Themistocles commanded the Athenian fleet and through his battle strategies the Greeks won the Battle of Salamis in 480 BC. The year prior to the invasion of Xerxes Themistocles, as noted above, was the most influential politician in Athens, if not in Greece. Though the Greek fleet was nominally under the control of the Spartan Eurybiades, Themistocles caused the Greeks to fight the indecisive Battle of Artemisium, and more, it was he who brought about the Battle of Salamis, by his threat that he would lead the Athenian army to found a new home in the West, and by his seemingly treacherous message to Xerxes, whose fleet was lured into the channel between Salamis and the mainland and crushed.

On the third day of the indecisive Battle of Artemisium in August, 480 BC, news reached the Greek fleet of the outcome of the Battle of Thermopylae (of 300 Spartans fame). The naval Battle of Artemisium took place, according to tradition, on the same day as the Battle of Thermopylae on August 11, 480 BC, though its exact date may be a few days prior or after. It was fought between an alliance of Greek city-states and the Persians in 480 BC. The Greek fleet retreated to Salamis to assist with the evacuation of Athens.

After Thermopylae, the Persian army burned and sacked the cities which did not surrender: Plataea and Thespieae in Boeotia. Later, the Persians did the same to Athens. There was disagreement in the Greek camp with the Spartans wanting to return to the Peloponnese, seal off the Isthmus of Corinth with a wall and prevent the Persians from defeating them on land. Themistocles, persuaded the Spartans to remain at Salamis, arguing that a wall across the isthmus was pointless as long as the Persian army could be transported around it and supplied by the Persian navy. His argument depended on a particular interpretation of the oracle at Delphi, which prophesied that Salamis would "bring death to women's sons," but also that the Greeks would be saved by a "wooden wall". Themistocles interpreted the wooden wall as the fleet of ships, and argued that Salamis would bring death to the Persians, not the Greeks. Furthermore, some Athenians who chose not to flee Athens interpreted the prophecy literally, barricaded the entrance to the Acropolis with a wooden wall, and fenced themselves in. The wooden wall was overrun, they were all killed, and the Acropolis was burned down by the Persians.

Eurybiades and the Spartans argued with Themistocles about the necessity of fighting at Salamis. They still wanted to fight the battle closer to Corinth, so that they could retreat to the mainland in case of a defeat, or withdraw completely and let the Persians attack them by land. Themistocles argued in favor of fighting at Salamis, as the Persian fleet would be able to continually supply their army no matter how many defensive walls the Peloponnesians built. Themistocles sent his servant to Xerxes to make the Persian king believe that the Greeks had in fact not been able to agree on a location for battle, and would be stealthily retreating during the night. Sicinnus, Themistocles' trusty slave of Persian origin, pretended that he deserted from the Athenian army and convinced Xerxes to send his Egyptian squadron to blockade the western outlet of the straits, which also served to block any Greek ships that might be planning to escape. This was exactly what Themistocles wanted Xerxes to do. Sicinnus was later rewarded with emancipation and Athenian citizenship.

As at Artemisium, the much larger Persian fleet could not maneuver in the gulf. On the left flank the Athenians could maneuver better and call reinforcements to fill gaps while the Phoenicians with land on their back could not. But on the right flank, where the Greeks were outnumbered and with land on their back, the Persians had open water and could call reinforcements, limiting the Spartans and Aeginetans to defense. The left managed to defeat its opposing force and encircle the enemy center. The chief Persian admiral Ariamenes rammed Themistocles' ship, but in the hand-to-hand combat that followed, Ariamenes was killed by a Greek warrior. On his death, confusion among the Persian fleet ensued because the chain of command was disrupted. The encircled Persians tried to turn back, but the strong wind trapped them. Those who were able to turn around were also trapped by the rest of the Persian fleet that had jammed the strait.

At least 200 Persian ships were sunk, including one by Artemisia, who, finding herself pursued by a Greek ship, attacked and rammed a Persian vessel, convincing the Greek captain that she too was Greek; he accordingly abandoned the chase. Aristides took another small contingent of ships and recaptured Psyttaleia, a nearby island that the Persians had occupied a few days earlier. It is said that it was the Immortals, the elite Persian Royal Guard, who during the battle had to evacuate to Psyttaleia after their ships sank and they were slaughtered to a man. According to Herodotus, the Persians suffered many more casualties than the Greeks because most Persians did not know how to swim. One of the Persian casualties was a brother of Xerxes. Those Persians who survived and ended up on shore were killed by the Greeks who found them.

Xerxes, sitting on Mount Aegaleo on his golden throne, witnessed the horror. He remarked that Artemisia was the only general to show any productive bravery by ramming nine Athenian triremes, saying, "My men have become women, and my women men." When some Phoenicians blamed the Ionians for cowardice before the end of the battle, Xerxes, who had just witnessed the battle and the courage of his Ionian fleet, had the Phoenicians beheaded. Thus it appears that Themistocles' psychological operation failed to make the Ionians fight with less resolve but succeeded in creating hostility between the different nations that comprised the Persian fleet.

The Battle of Salamis has been described by many historians as the single most significant battle in human history. The defeat of the Persian navy was instrumental in the eventual Persian defeat, as it dramatically shifted the war in Greece's favor. Many historians argue that Greece's ensuing independence laid the foundations for Western civilization, most notably from the preservation of Athenian democracy, the concept of individual rights, relative freedom of the person, true philosophy, art and architecture. Had the Persians won at Salamis, it is very likely that Xerxes would have succeeded in conquering all the Greek nations and passing to the European continent, thus preventing Western civilization's growth (and even existence). Given the influence of Western civilization on world history, as well as the achievements of Western culture itself, a failure of the Greeks to win at Salamis would almost certainly have had seriously important effects on the course of human history.

(This narrative is a compilation derived from various on-line encyclopedias including, but not limited to, Columbia Encyclopedia, Britannica Concise Encyclopedia, and university websites. Also, the narrative is for model leadership purposes only)

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