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**THESIS**

**MEASURING THE FOUNDATION OF HOMELAND  
SECURITY**

by

David Matthew

March 2007

Thesis Advisor:  
Second Reader:

Chris Bellavita  
Joseph V. Saitta

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**MEASURING THE FOUNDATION OF HOMELAND SECURITY**

David A. Matthew  
Captain, Sedgwick County Fire Department  
B.A., Wichita State University, 2004

Submitted in partial fulfillment of the  
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**NAVAL POSTGRADUATE SCHOOL  
March 2007**

Author: David A. Matthew

Approved by: Christopher Bellavita, Ph.D.  
Thesis Advisor

Joseph V. Saitta, Ph.D.  
Second Reader

Professor Douglas Porch  
Chairman, Department of National Security Affairs

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## **ABSTRACT**

This thesis provides a self-assessment tool to compel discussion concerning Homeland Security teamwork. Building on the research of others who have focused on collaboration and teamwork as essential for Homeland Security, it is proclaimed that teamwork is the foundation on which Homeland Security capabilities must be built. The purpose of this thesis is to define the components of teamwork amongst the local multidiscipline organizations with a common Homeland Security mission, provide statements for each of the components, and then enter the components into a metric that can be useful in measuring teamwork. The results of the research yielded five components of teamwork and that leadership is the key to implementation. Focus groups of local Homeland Security professionals were used to authenticate the research findings. Three statements were developed from the research and focus groups to measure each of the five components of teamwork. A focus group from Seattle Homeland Security reviewed and revised the final teamwork metric to assure its usefulness for Homeland Security organizations. It is recommended that standard methodologies be used to establish actual validity and reliability of the teamwork metric. Finally, a discussion on the interrelation between teamwork, organizational change and leadership is provided.

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## I. INTRODUCTION

The foundation on which Homeland Security must be built is teamwork. The achievement of the National Preparedness Goal (the Goal) by community-wide Homeland Security organizations—such as law enforcement, fire service, public health, and emergency management—does not effectively ensure preparedness to prevent, prepare, respond and recover from events of mass effect. The Goal provides guidance on building capabilities and achieving tasks; however a culture of teamwork is foundational in building successful community-wide Homeland Security organizations. It is the hypothesis of this thesis that without teamwork we offer significant advantages to those forces that threaten our way of life.

Significant research has been completed on the subjects of teamwork and collaboration dealing with Homeland Security organizations.<sup>2</sup> This thesis strives to build on the research of others who have focused on collaboration and teamwork as essential for Homeland Security organizational success. The purpose of this thesis is to define the components of teamwork amongst multidiscipline organizations with a common Homeland Security mission, provide statements for each of the components, and then enter the components into a metric that can be useful in measuring teamwork for local Homeland Security organizations.<sup>3</sup>

The specific research question is: What components define effective teamwork amongst multidiscipline organizations involved in the Homeland Security mission and how can the components be measured? The results of the research will give Homeland Security agencies a self-assessment tool, which can be used to evaluate the specific areas of teamwork that may need improvement or further evaluation.

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<sup>2</sup> Jerome D. Hagan, “Interagency Collaboration Challenges Among Homeland Security Disciplines in Urban Areas” (Naval Postgraduate School, Monterey CA, 2006), 2, Susan P. Hocevar, Gail F. Thomas, and Erik Jansen, “Building Collaborative Capacity: An Innovative Strategy for Homeland Security Preparedness” (Naval Postgraduate School, Monterey CA, forthcoming 2006), 4. Additional references used to build the metric can be found in the bibliography.

<sup>3</sup> These multi-jurisdictional organizations include law enforcement, fire service, public health, emergency management and others.

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## II. BACKGROUND AND SIGNIFICANCE

A simple definition of teamwork is people working together toward a common goal.<sup>4</sup> Currently many organizational disciplines have adopted teamwork as essential in achieving success and their mission statements routinely allude to the importance of teamwork, utilizing such words as cooperation, coordination, collaboration, and communication as key components. Although it is one thing for these organizations to write that they have these teamwork components in place, it is another to measure the components by a defined set of attributes and then use the results of this measurement to pursue what might, in reality, be missing in the teamwork model within each organization.

Events of mass effect require teamwork among the diverse multidiscipline organizations that are tasked with the Homeland Security mission. In July, 2003 852 representatives from local, federal, and state agencies from across the country met in Arlington, Virginia to discuss the lessons learned from the September, 2001 attack on the Pentagon. The three-day conference was sponsored by Arlington County and focused on the theme *Teamwork: A Model for the Nation*. The following is one of the conference's published observations:

Response to a terrorist incident will not be a local event. Preparedness, response, and recovery will be regional, and plans and funding should reflect this regional-ism. Teamwork spanning the Federal, State, and local level is critical to a successful response and recovery.<sup>5</sup>

Conference speakers included then Attorney General John Ashcroft, then Homeland Security Secretary Tom Ridge and FBI Director Robert Mueller. The conference findings concluded that effective response to large-scale events requires multidiscipline teamwork.

---

<sup>4</sup> There are many definitions of teamwork. This definition is not specifically referenced to any one source.

<sup>5</sup> Arlington County Conference Report, "Local Response to Terrorism: Lessons Learned from the 9-11 Attack on the Pentagon," available at <http://www.co.arlington.va.us/NewsReleases/scripts/ViewDetail.asp?Index=1441> [Accessed September 14, 2006].

In many cases, achieving cohesive Homeland Security organizations from these diverse agencies is proving problematic.<sup>6</sup> The evolving Homeland Security mission requires an environment of teamwork in order for these organizations to be effective, but if these organizations cannot demonstrate the components of teamwork, they are destined to be unsuccessful in achieving the vision outlined in the Goal. Independently, community-wide organizations have achieved increased capabilities through equipment, training, and working together. Homeland Security requires these organizations to work together because the disparate disciplines have the resources and capabilities the mission requires. If the multidiscipline organizations do not work together they offer the forces that threaten our way of life a significant advantage. Providing these multidiscipline organizations with a self-assessment instrument by which they can evaluate their collective teamwork attributes—which if achieved—would significantly increase the chances of achieving the intent of the Goal.

The barriers to teamwork are significant. The Homeland Security mission is accomplished through the support of multidiscipline organizations that may have competing interests within a community. For example, it is common for departments within local government to compete for funds from a limited budget. Additionally, the relatively new Homeland Security mission has resulted in concern for “mission creep” which must be managed or teamwork will not be achieved.<sup>7</sup> Finally, many organizational leaders define teamwork subjectively, making it difficult to delineate achievement.

Teamwork can be instilled into organizational culture with time and focused leadership. However, many local Homeland Security organizations lack both of these elements. Community leaders responsible for the Homeland Security mission often do not have organizational responsibility for those carrying out the tasks required. For example, in Wichita/Sedgwick County, Kansas; Emergency Management has planning responsibility for events of mass effect but has no direct control over the assets of law

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<sup>6</sup> Hocevar, et al., “Building Collaborative Capacity: An Innovative Strategy for Homeland Security Preparedness,” 8-9.

<sup>7</sup> The term *Mission Creep* can be traced to the military and refers to organizations that expand their capabilities causing conflicts with traditional missions of existing agencies. The origins of the term are available at [http://en.wikipedia.org/wiki/Mission\\_creep](http://en.wikipedia.org/wiki/Mission_creep) [Accessed June 4, 2006].

enforcement, fire service and public health, which are identified as essential in accomplishing the plans. In addition, the multidiscipline organizations are focused on their established missions and are struggling to allocate adequate time and personnel to the new Homeland Security mission.

The leaders of Homeland Security organizations have identified teamwork as important to achieving the Homeland Security mission. The comments by Secretary Chertoff express the significance of teamwork among the multidiscipline organizations that constitute Homeland Security. It is common for leaders of local Homeland Security organizations to communicate identical positions. According to Secretary Chertoff, "...one lesson we have to take to heart is the importance of teamwork. If we are to really be a Department of Homeland Security and not a collection of individual components, we have to come together as a team and take full advantage of the tremendous assets, resources and capabilities at our disposal."<sup>8</sup>

Significant changes are needed in our Nation's attempt to build local Homeland Security organizations. A measurement of the key teamwork components would provide leaders of Homeland Security organizations a tool to articulate the specific attributes that may be deficient and preserve those attributes already in place. Teamwork provides a synergistic effect that can compress the time necessary to build effective local Homeland Security organizations and change existing cultures needed to deal with the immediate threat and vulnerability presented by events of mass effect.

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<sup>8</sup> The reference is from a speech from Michael Chertoff given on December 20, 2005, available at <http://www.dhs.gov/dhspublic/display?theme=42&content=5523> [Accessed August 27, 2006].

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### III. REVIEW OF LITERATURE

The purpose of this literature review is to define the components of teamwork and the ways in which it can be measured within the Homeland Security discipline. The focus is teamwork between multidiscipline organizations with a common Homeland Security mission at the local community level. The subject of teamwork is well studied and defined by multiple disciplines. The scope of this literature review is to cast a broad net and then narrow to specific literature related to Homeland Security. The resources of the Dudley Knox Library at the Naval Post Graduate School (NPS) and the Learning Resource Center (LRC) at the National Emergency Training Center were used to gather literature on multidiscipline teamwork. The quotes presented are representative of the body of literature reviewed.

#### A. DEFINITIONS OF TEAMWORK

The definitions of teamwork provide a common theme of working together. The following are definitions of teamwork that represent the varied responses found in the literature:

A team is a group of agents with a common goal, which can only be achieved by appropriate combinations of individual activities. Thus teamwork is a species of cooperation.<sup>9</sup>

We define a team to be two or more people with different tasks who work together adaptively to achieve specified and shared goals. The central feature of teamwork is coordination.<sup>10</sup>

Work done by several associates with each doing a part but all subordinating personal prominence to the efficiency of the whole.<sup>11</sup>

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<sup>9</sup> Natalie Gold, *Teamwork Multi-Disciplinary Perspectives* (New York, NY: Palgrave Macmillan, 2005), xxi.

<sup>10</sup> Michael T. Brannick, Eduardo Salas and Carolyn Prince, *Team Performance Assessment and Measurement: Theory, Methods, and Applications* (Mahwah, NJ: Lawrence Erlbaum Associates, 1997), 4.

<sup>11</sup> Taken from the Merriam-Webster on line dictionary, available at <http://www.m-w.com/cgi-bin/dictionary?va=teamwork> [Accessed June 10, 2006].

Teamwork in its essence and at its best yields a whole, which is greater than the sum of its parts. It allows a group of people together, to make decisions and/or carry out activities more effectively and with more confidence, than any one team member could.<sup>12</sup>

The United States Postal Service has adopted an acronym for the word “team” with each letter representing letters in the sentence, “**T**ogether **E**veryone **A**ccomplishes **M**ore.”<sup>13</sup> Although the definitions of teamwork are varied the common theme is a group of individuals working together toward a common goal, which results in a force multiplier where the whole is greater than the sum of the parts.

The literature provides the components required to achieve teamwork. They include Cooperation, Coordination, Collaboration, Communication, Trust, Commitment, Clear Goals, and Define and Measure success. The following are examples from the literature of each of these components and a summation of the researcher’s impressions.

### **1. Cooperation, Coordination, and Collaboration**

In defining teamwork the words cooperation, coordination, and collaboration are used consistently within the varied definitions. The three constructs are interrelated in that they represent different methods of working together. Figure 1 helps distinguish between these three key components of teamwork:

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<sup>12</sup> Author unknown, *Cold Mountain Computing: Teamwork Defined*, available at <http://www.cmcweb.com/justice/defined.htm> [Accessed June 10, 2006].

<sup>13</sup> Joseph V. Saitta, *Multidisciplinary Collaboration*, in *Forensic Nursing, A Handbook for Practice* (Sudbury, MA: Jones & Bartlett, 2006), 21.



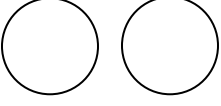
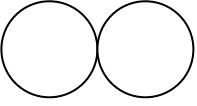
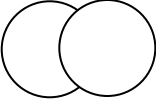
		
<p><b>Cooperation...</b></p> <p>Short term</p> <p>Informal Relations</p> <p>No clearly defined mission</p> <p>No defined structure</p> <p>No planning effort</p> <p>Partners share information about the project at hand</p> <p>Individuals retain authority</p> <p>Resources are maintained separately</p> <p>No Risk</p> <p>Lower intensity</p> <p>-----</p> <p>--informal, no goals are defined jointly, no planning together, information is shared as needed.</p>	<p><b>Coordination...</b></p> <p>Longer term</p> <p>More formal relationships</p> <p>Understand mission</p> <p>Focus on specific effort or program</p> <p>Some planning</p> <p>Open communication channels</p> <p>Authority still retained by individuals</p> <p>Resources and rewards are shared</p> <p>Power can be an issue</p> <p>Some intensity</p> <p>-----</p> <p>--some planning is required and more Communication, thus, a closer working relationship is developed.</p>	<p><b>Collaboration...</b></p> <p>Long term</p> <p>More pervasive relationship</p> <p>Commitment to a common mission</p> <p>Results in a new structure</p> <p>Comprehensive planning</p> <p>Well defined communication channels at all levels</p> <p>Collaborative structure determines authority</p> <p>Resources are shared</p> <p>Greater risk: power is an issue</p> <p>Higher intensity</p> <p>-----</p> <p>-working together, having shared commitment and goals, developed in partnership. Leadership, resources, risk, control and results are shared. More accomplished than could have been individually.</p>

Figure 1. Collaboration Chart  
(From Collaboration Handbook: Creating, Sustaining and Enjoying the Journey)<sup>14</sup>

The other texts provided varied definitions, however, consensus was found in the progression from cooperation to collaboration. The following are two definitions of collaboration that represented the literature reviewed:

Collaborative climate is a very special aspect of that success. Collaborative climate refers to the extent to which members communicate openly, disclose problems, share information, help each other overcome

obstacles, and discover way of succeeding. Collaborative climate is the essence of teams; it is the ‘teamwork.’<sup>15</sup>

<sup>14</sup> Michael Winer and Karen Ray, *Collaboration Handbook: Creating, Sustaining and Enjoying the Journey* (St. Paul, MN: Amherst H. Wilder Foundation, 1994), 310.

<sup>15</sup> Carl E. Larson and Frank M. J. LaFasto, *Teamwork: What Must Go Right/What Can Go Wrong* (London, England: Sage Publications, 1989), 94.

...[W]e define collaborative capacity as the ability of organizations to enter into, develop, and sustain inter-organizational systems in pursuit of collective outcomes.<sup>16</sup>

The Homeland Security literature stressed collaboration as the foundation for Homeland Security organizations.<sup>17</sup> The literature concludes that collaboration is the ultimate aspiration for successful teams.

## **2. Communication**

Communications was another identified key component throughout the literature. This was not surprising since communications is foundational to all human interactions. The need to have a communications structure in place—both formally and informally—was supported throughout the literature:

...[T]he striking positive correlation between group communication and cooperation, noting that, among other benefits, communication strengthens group identity.<sup>18</sup>

Team members feel free to express their feelings on the tasks as well as on the group's operation. There are few hidden agendas. Communication takes place outside of meetings.<sup>19</sup>

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<sup>16</sup> Hocevar, et al., "Building Collaborative Capacity: An Innovative Strategy for Homeland Security Preparedness," 3.

<sup>17</sup> The primary Homeland Security references for this research are Vincent J. Doherty, "Metrics for Success: Using Metrics in Exercises to Assess the Preparedness of the Fire Service in Homeland Security" (Naval Postgraduate School, Monterey, CA, 2004), Hagan, "Interagency Collaboration Challenges Among Homeland Security Disciplines in Urban Areas," Hocevar, et al., "Building Collaborative Capacity: An Innovative Strategy for Homeland Security Preparedness," and Douglas R. Templeton, "Assessing the Utility of Work Team Theory in a Unified Command Environment at Catastrophic Incidents" (Naval Postgraduate School, Monterey, CA, 2005).

<sup>18</sup> Andrea Saveri, Howard Rheingold, Alex Soojung-Kim Pang and Kathi Vian, *Toward a New Literacy of Cooperation in Business: Managing Dilemmas in the 21<sup>st</sup> Century* (Palo Alto, CA: Institute for the Future, 2004), 25.

<sup>19</sup> Glenn M. Parker, *Team Players and Teamwork: The New Competitive Business Strategy* (San Francisco, CA: Jossey-Bass, 1990), 33.

### 3. Trust

In our examination of effectively communicating teams, four themes emerged to help explain why a climate of trust fosters teamwork:

- Trust allows team members to stay problem-focused
- Trust promotes more efficient communication and coordination
- Trust improves the quality of collaborative outcomes
- Trust leads to compensating

Trust is one of those mainstay virtues in the commerce of mankind. It is the bond that allows any kind of significant relationship to exist between people. Once broken, it is not easily – if ever – recovered.<sup>20</sup>

Trust was initially overlooked by the researcher as a key component and was not as prevalent throughout the literature. However, it was found that trust is a critical component of teamwork. Figure 2 represents the importance of trust:

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<sup>20</sup> Larson and LaFasto, *Teamwork: What Must Go Right/What Can Go Wrong*, 85.

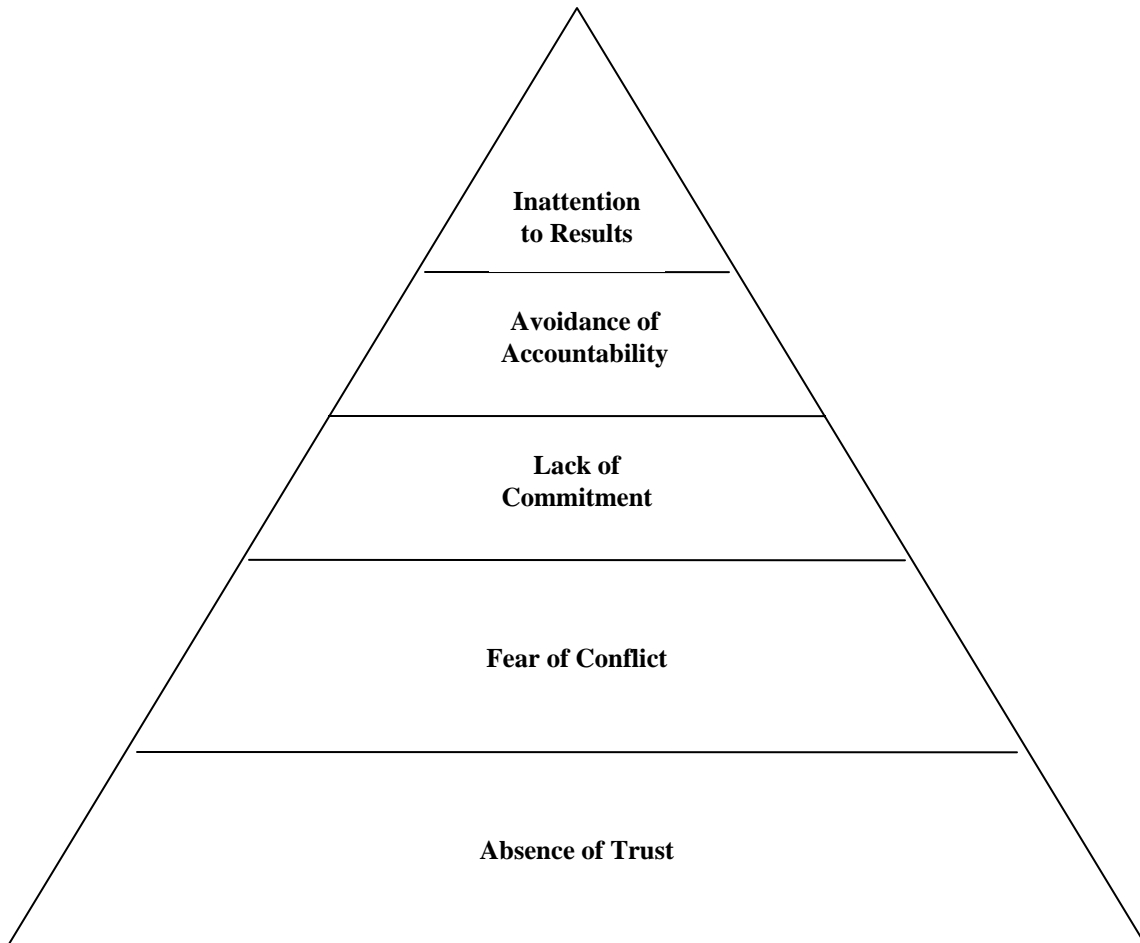


Figure 2. The Five Dysfunctions of a Team  
(From *The Five Dysfunctions of a Team: a Leadership Fable*)<sup>21</sup>

The literature revealed that without trust the other components suffer. When discussing teamwork within the discipline of sports, trust is a primary factor. The correlation to Homeland Security is easily made.

#### **4. Commitment**

The body of literature supports the need for commitment from the organizational leaders to the members of the team who are carrying out the assigned task. Lack of

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<sup>21</sup> Patrick Lencioni, *The Five Dysfunctions of a Team: a Leadership Fable* (San Francisco, CA: Jossey-Bass, 2002), 188.

commitment was identified as a clear barrier to achieving the goals and objectives in Homeland Security:

Commitment relates both to the task and the other people on the team. Commitment concerns the willingness to participate and become involved in the task and to support the other people on the team.<sup>22</sup>

Building collaborative capacity is a multifaceted endeavor requiring systemic attention, resources, commitment, and opportunities for interaction.<sup>23</sup>

## **B. DEFINITIONS OF GOALS**

...[A]s teams get started, they must discuss purpose and goals:

- What are we being asked to do? What should we be asked to do? How can any gaps between “are being asked” and “should be asked” be reconciled?
- What does this work matter to each of us, our group, and our organization?
- How would we and others know we succeeded?
- What are the most critical themes and issues that emerge from discussing these questions?
- Why do we care about this work?
- How might we capture this discussion in a meaningful statement of purpose and goals?
- What kind of work will we need to do to achieve our purpose and goals?<sup>24</sup>

These questions are normally answered as the team becomes more cohesive.

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<sup>22</sup> Daniel Levi, *Group Dynamics for Teams* (Thousand Oaks, CA: Sage Publications, 2001), 252.

<sup>23</sup> Hocevar, et al., “Building Collaborative Capacity: An Innovative Strategy for Homeland Security Preparedness,” 15.

<sup>24</sup> Jon R. Katzenbach and Douglas K. Smith, *The Discipline of Teams* (New York, NY: John Wiley & Sons, Inc., 2001), 119.

The team needs clear goals, team members must collaborate and reach consensus, resources and support must be available, and plenty of coordination and communication needs to take place.<sup>25</sup>

The requirements for established goals—which are clearly communicated to all members of the team—are supported by the literature. The need for organizational leaders to define the mission and provide the resources the team needs to achieve is a reoccurring theme. In addition, the team leaders must provide measurable steps on how they are going to achieve the mission. This key component of teamwork is more prevalent in the literature related to business than to Homeland Security. This may be because of the assumption that many federal directives and guidelines have defined the goals to some extent.

### **C. BARRIERS TO TEAMWORK**

The focus of the literature review was to define the components of teamwork. It became clear during the review of the literature that identifying the barriers to teamwork is essential in answering the research question and achieving the research objective to develop a metric instrument to measure teamwork. The barriers are mostly antonyms to the successful components of teamwork; however, there are some differences, such as team dynamics and time pressures. Competition and culture were also identified as clear barriers to teamwork that must be managed.<sup>26</sup> The following quotes are representative of the literature reviewed:

The six fundamental reasons for stuck teams are:

- Unclear goals
- Mistaken attitudes
- Missing skill
- Membership changes
- Time pressures

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<sup>25</sup> Fran Rees, *Teamwork from Start to Finish* (San Francisco, CA: Jossey-Bass Pfeiffer, 1997), 25.

<sup>26</sup> Michael M. Beyerlein and Douglas A. Johnson, *Advances in Interdisciplinary Studies of Work Teams* (Greenwich, CT: JAI Press Inc., 1994), 126.

- Lack of discipline and commitment<sup>27</sup>

...[A]nalysis of ‘barriers’ indicated that there is often a history of competition for resources among city, county, regional and state-level service providers.<sup>28</sup>

Yet members’ expertise and the uniqueness of their professional skills also tended to create cultural conflict between team members and other organizational actors.<sup>29</sup>

#### **D. MEASUREMENTS FOR TEAMWORK**

Researching metrics to measure teamwork yielded great results, however none were found from the Homeland Security literature. Current, accurate, and to the point literature was found that directly related to the need for Homeland Security organizations to achieve the components of teamwork. Over 50 pages of metrics were gathered that provided various methods of measurement scales for teamwork. In addition, concerns and pitfalls to developing metrics were found which included false assumptions and applications.<sup>30</sup> The following quotes summarize the literature review concerning measurements for teamwork:

Performance measure is the single most important metric to gather in that it measures inherent capability.<sup>31</sup>

What gets measured gets done.<sup>32</sup>

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<sup>27</sup> Katzenbach and Smith, *The Discipline of Teams*, 181.

<sup>28</sup> Hocevar, et al., “Building Collaborative Capacity: An Innovative Strategy for Homeland Security Preparedness,” 8.

<sup>29</sup> Mary Lou Davis-Sacks, Daniel Denison, and Russell A. Eisenstat, “Summary: Professional Support Teams,” in *Groups That Work and Those That Don’t*, by J. Richard Hackman, (San Francisco, CA: Jossey-Bass Publishers, 1991), 199.

<sup>30</sup> Jon Erlendsson, *Measurement and Action: What Gets Measured Gets Done*, available at [http://www.hi.is/~jonew/eaps/wh\\_metr.htm](http://www.hi.is/~jonew/eaps/wh_metr.htm) [Accessed June 8, 2006].

<sup>31</sup> Doherty, “Metrics for Success: Using Metrics in Exercises to Assess the Preparedness of the Fire Service in Homeland Security,” 38.

<sup>32</sup> This quote is credited to Robert Frost in the Doherty thesis, 39.

This will give us the ability to know where we were, where we are at, and attempt to predict where we will be in the future, both short and long term.<sup>33</sup>

Things to Remember When Developing Metrics:

- Measurement drives behavior
- Measure what's important to the organization.
- Include comparative basis as part of the overall program.
- Metrics should be collected, distributed and analyzed.
- Finally, metrics need to be easily understandable, and their meaning needs to be quickly and easily grasped and understood.<sup>34</sup>

The Homeland Security literature supports the development of metrics and the literature on teamwork metrics from other disciplines provides a template to follow.

## **E. LEADERSHIP**

The subject of leadership was prevalent throughout the literature reviewed. The majority of the material was written for leaders who desire to build or maintain teams. The need for focused leadership within and outside teams was found to be the reoccurring theme. The research yielded important aspects of leadership that could be applied to the local Homeland Security organizations. Some of those aspects include having the right people assigned to the Homeland Security organization that have a basic knowledge of human interactions, organizational cultures, and leadership principals. The following quotes are representative of the literature reviewed:

...[A] team leader's actions really *do* spell the difference between team success and failure....Anyone who clarifies a team's direction, improves its structure, secures organizational supports for it, or provides coaching that improves its performance processes is providing team leadership.<sup>35</sup>

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<sup>33</sup> This quote is credited to Robert Frost in the Doherty thesis, 44.

<sup>34</sup> This quote is credited to Robert Frost in the Doherty thesis, 46-47.

<sup>35</sup> J. Richard Hackman, *Leading Teams* (Boston, MA: Harvard Business School Press, 2002), 200.



Leaders are ultimately responsible for building collaborative capacity... Another incentive to collaborate is strong leadership. A leader who clearly expresses commitment to a vision of collaboration with other agencies can provide important incentives...This is similar to the acknowledged role of leadership in effective change management.<sup>36</sup>

The literature review exposed leadership as a critical component in achieving teamwork. Homeland Security teamwork requires leadership at all levels that obtain the structure and the direction needed to achieve established goals and objectives. Leadership is a broad category that the researcher hoped to avoid in researching the components of teamwork as it has been the focus of countless studies. There is a body of knowledge—outside the scope of this literature review—developed in the past ten years that focuses on the interrelationship of leadership and followership that can be referenced for Homeland Security.<sup>37</sup>

## **F. SUMMATION**

Table 1 summarizes many of the components identified by the literature, although in a less than academic prose:

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<sup>36</sup> Hocevar et al., 2004, 94 and 2006, 8.

<sup>37</sup> The support for this statement comes from perspective of the researcher who has been a student of leadership for over ten years. Further explanation is presented in the Discussion section of this thesis.

<ul style="list-style-type: none"> <li>• <b>The Law of Significance</b> <i>One Is Too Small a Number to Achieve Greatness</i></li> <li>• <b>The Law of the Big Picture</b> <i>The Goal Is More Important Than the Role</i></li> <li>• <b>The Law of the Niche</b> <i>All Players Have a Place Where They Add the Most Value</i></li> <li>• <b>The Law of Mount Everest</b> <i>As Challenge Escalates, the Need for Teamwork Elevates</i></li> <li>• <b>The Law of the Chain</b> <i>The Strength of the Team Is Impacted by Its Weakest Link</i></li> <li>• <b>The Law of the Catalyst</b> <i>Winning Teams Have Players Who Make Things Happen</i></li> </ul>	<ul style="list-style-type: none"> <li>• <b>The Law of the Compass</b> <i>Vision Gives Team Members Direction and Confidence</i></li> <li>• <b>The Law of the Bad Apple</b> <i>Rotten Attitudes Ruin a Team</i></li> <li>• <b>The Law of Accountability</b> <i>Teammates Must Be Able to Count on Each Other When It Counts</i></li> <li>• <b>The Law of the Price Tag</b> <i>The Team Fails to Reach Its Potential When It Fails to Pay the Price</i></li> <li>• <b>The Law of the Scoreboard</b> <i>The Team Can Make Adjustments When It Knows Where It Stands</i></li> <li>• <b>The Law of the Bench</b> <i>Great Teams Have Great Depth</i></li> </ul>	<ul style="list-style-type: none"> <li>• <b>The Law of Identity</b> <i>Shared Values Define the Team</i></li> <li>• <b>The Law of Communication</b> <i>Interaction Fuels Action</i></li> <li>• <b>The Law of the Edge</b> <i>The Difference Between Two Equally Talented Teams Is Leadership</i></li> <li>• <b>The Law of High Morale</b> <i>When You're Winning, Nothing Hurts</i></li> <li>• <b>The Law of Dividends</b> <i>Investing in the Team Compounds Over Time</i></li> </ul>
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Table 1. The 17 Indisputable Laws of Teamwork  
(From The 17 Indisputable Laws of Teamwork)<sup>38</sup>

This table is an example of the breadth of literature on teamwork that is not easily substantiated by academic methods. Each of the Laws is taken from various disciplines where teams or teamwork is used to form a more cohesive organization. The Laws represent phrases or mottos used by these disciplines throughout their organizations to build morale and maintain organizational focus on their respective goals.

The literature review defined teamwork and yielded the key components to achieving teamwork. The need to measure these components and methods to do so was also found. The barriers to teamwork and other auxiliary information to achieving teamwork are supportive of the hypothesis of this research paper. Significant research related to Homeland Security organizations on this subject matter has been completed.

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<sup>38</sup> John C. Maxwell, *The 17 Indisputable Laws of Teamwork* (Nashville, TN: Thomas Nelson Inc., 2001), 1-256.

The literature review provided the components for efficient and effective teams that are essential in building local Homeland Security organizations.

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## IV. METHODOLOGY

The resources of the NPS Dudley Knox Library and the LRC of the National Emergency Training Center were used to conduct a comprehensive literature review. Key word searches included teamwork, cross-functional teams, multidiscipline teams, and variations of each one. Special focus was given to completed research projects related to Homeland Security. The expertise of the NPS and LRC staffs provided a comprehensive search for relevant and current literature. An extensive Internet search for the key terms was done as well. The focus of this research paper is on teamwork between multidiscipline organizations.

The gathered literature was initially reviewed by this researcher and placed into one of three categories: not applicable, secondary reference, and primary reference. The researcher read all of the primary references and took extensive notes. These were considered primary references because they were current—published within the last three to five years—and related directly to the research questions. Secondary references were those that may not have had a direct correlation to Homeland Security or were not current—not published within the past five years—but offered significant discussion related to the research questions. Not applicable resources were those that did not meet the previous criteria. A significant number of the resources were placed in a not applicable resources category because they dealt with teamwork within a single organization.

The literature review was documented by placing the primary and secondary resources into “schools of thought” which are representative of the components of teamwork. The schools of thought were focused into five separate categories: structure, communication, collaboration, commitment and trust. Definitions of keywords were provided and primary resources were found within each of the components.

The results of the literature review were presented to two focus groups whose make-up represented the disciplines identified by the Department of Homeland Security (DHS) as primary agencies involved in Homeland Security at the local level. These groups consisted of representatives from Homeland Security organizations and were

divided by discipline—law enforcement, emergency management, public health, and fire service—so that one representative from each discipline was present. The four person focus groups were from a convenience sample of Homeland Security representatives who were professional acquaintances of the researcher and involved in the NPS Master’s program at the Center for Homeland Defense and Security (CHDS). As a result of using a convenience sample, care should be used when extrapolating beyond this sample. Further, since the sample was composed of personnel engaged in advanced education in Homeland Security, it is unknown if representatives not seeking such advanced education would have similar or different views.

After presenting the research to the focus groups, the remainder of the session was divided into a brainstorming session where each of the participants was asked to state the components of teamwork that made his or her Homeland Security organization effective. This was necessary since no pre-existing collation of the components of teamwork, specifically as related to DHS, was available. The researcher used a worksheet to track the answers while displaying them to the group through a projector as the answers were given. After the respondents were finished giving quick answers, the researcher asked each respondent to contribute one additional component of teamwork they thought was significant but had not yet been covered. Time was allowed for discussion before the end of the brain-storming session. This methodology resulted in over 25 different responses that were displayed for the group to discuss (see APPENDIX A).

The participants were asked to openly discuss each item focusing on those components of teamwork that the participants considered important for the success of their Homeland Security organizations. The groups were directed to rate each item on the following scale:

(3) Essential      (2) Need to have      (1) Nice to have

Each component generated from this brainstorming session was discussed by the group with the researcher acting as facilitator, asking the group to achieve consensus. Once consensus was reached, the researcher recorded the information and continued to the next item. This technique allowed for “off the cuff” responses generated from the brainstorming session to be scrutinized. This was useful in vetting out those items that

were not primary components of teamwork for the participants' organizations. Averages of 12 responses were listed as essential for Homeland Security teamwork. The sessions ended with an expression of appreciation by the researcher and an offer to forward a summation of the results to those in the group upon request.

The results of the focus groups were reviewed by the researcher and compared to the results of the literature review. The components of teamwork from the literature review were confirmed by the focus groups. The researcher developed statements for use in the metric. The components of teamwork were placed into five separate categories. The categories are:

- Structure
- Communication
- Collaboration (Cooperation and Coordination are included in Collaboration)
- Commitment
- Trust

The research generated hundreds of example statements to measure teamwork, which were narrowed by similarities into to 50 statements that could be related to Homeland Security organizations. Those 50 statements were used to generate three statements for each of the five described categories making a total of 15 statements for the metric. Three questions per category was a limit imposed by the researcher to keep the metric concise and easy to manage on one page. Those 15 statements were again compared to the results of the focus groups to make sure the 15 statements covered all of the essential components identified by the focus groups.

The 15 statements were placed into a metric built using an Excel© worksheet. The completed metric can be found in APPENDIX A of this thesis and is further discussed in the results section. The metric sheet displays the five categories with the three questions for each category, but without a header given for the categories. The metric participant is given directions requesting answers related to their own Homeland

Security organization. A modified Likert scale<sup>39</sup> was used, asking the participants to rate their responses to each statement using a zero to five numeric scale with zero representing never and five representing always. This ordinal measurement is required because the values have no measurable difference but capture the respondent's opinion on the various statements. The participants are directed to enter numerical values between zero and five, meaning the numbers zero and five can be used. This is done to compel the respondents to consider each statement with the use of absolutes (always and never). In addition, the researcher encourages the use of decimal points to increase the utility of the metric.

The numerical designation entered for each of the 15 questions is tabulated on a summary sheet that distributes the participants' responses into three levels. An overall score is converted into a "stop light" scale<sup>40</sup>:

- 0 to 49.9 is in the "red"
- 50 to 74.9 is in the "yellow"
- 75 and above is in the "green"

Separate scores for each of the five categories are provided using the same scale as above. A positive or negative response to each question is derived by those responses less than 2.5 receiving a negative indicator and above 2.5 receiving a positive indicator.

The overall score allows Homeland Security leaders a general scale on how well they are performing as a team, and that performance can then be communicated throughout the organization. The breakdown score provides identification of the five categories—which are defined on the summary sheet—and identifies how well the organization is performing and where improvement can be achieved. The positive or negative responses for each of the 15 questions provide details areas that can be sustained or improved.

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<sup>39</sup> A **Likert scale** is a type of psychometric response scale often used in questionnaires and is the most widely used scale in survey research. When responding to a Likert questionnaire item, respondents specify their level of agreement to a statement. Taken from Wikipedia, available at [http://en.wikipedia.org/wiki/Likert\\_scale](http://en.wikipedia.org/wiki/Likert_scale) [Accessed December 6, 2006].

<sup>40</sup> The RYG system of rating is referenced from the Navy and Marine Corps Product Data Reporting and Evaluation Program (PDREP) Manual: NAVSOR-3683B, 2004. [http://www.nslcptsmh.navsea.navy.mil/pdrep/navsop3683b\\_all.pdf](http://www.nslcptsmh.navsea.navy.mil/pdrep/navsop3683b_all.pdf) [Accessed February 9, 2007].



The Homeland Security metric was presented to a focus group from the Seattle, WA, area Homeland Security organization.<sup>41</sup> Seattle was chosen because of its recognition by DHS<sup>42</sup>, previous participation in research related to this thesis topic<sup>43</sup>, and the participation of members in the CHDS program. A leader from each of the Homeland Security disciplines participated in a two-hour session that consisted of a presentation of this research. Informative posters were displayed for reference during the session—and hard copies of the metric statements were presented for review. In addition, a demonstration of the metric was provided. Each of the 15 statements was discussed using a roundtable format where any participant could request clarification and offer recommendations for improvement for each of the 15 statements. Final changes were made upon consensus of the group. The sessions ended with an expression of appreciation by the researcher and an offer to forward a summation of the results upon request to those in the group. The group requested that the completed recommendations from the session be e-mailed to the group for a final review. The final changes were accomplished within 72 hours with one respondent replying with minor corrections. The final 15 statements to measure the five components of teamwork were the result.

## **A. ASSUMPTIONS AND LIMITATIONS**

- The Focus Group participants were all Homeland Security professionals. The majority were seeking advanced degrees at the NPS and were acquaintances of the researcher. The research would be strengthened by additional focus groups made up of a broader demographic of Homeland Security professionals.

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<sup>41</sup> Members participating in the focus group were Dianne Bonne-Response Program Manager-Seattle and King County Public Health, Ron Leavell-Commander of the Criminal Intelligence Section-Seattle Police Department, Gregory Dean-Fire Chief-Seattle, and John Pirak-Emergency Preparedness Manager-Seattle Office of Emergency Management.

<sup>42</sup> Seattle area has been recognized by the Department of Homeland Security as innovative in several of their Homeland Security initiatives.

<sup>43</sup> Hagan, “Interagency Collaboration Challenges Among Homeland Security Disciplines in Urban Areas”.

- The small number of focus groups weakens the research. Additional focus groups may strengthen the metric.
- The predisposition of the researcher was to focus on measuring teamwork between the multidiscipline organizations with a common Homeland Security mission. During the research leadership and changing culture were found to be critical to achieving teamwork. Additional research on leadership and culture change in Homeland Security may strengthen the project.
- It is assumed that all participants were candid and honest with their comments. It is the judgment of the researcher that this assumption is correct.

## **B. DEFINITIONS OF KEY TERMS**

The following are key terms as defined for use in this research:

- Homeland Security organizations—Comprised of representatives from the four key disciplines identified by the Department of Homeland Security. They are Law Enforcement, Fire Service, Public Health, and Emergency Management. Other agencies should be represented which are tasked with achieving the capabilities outlined in the National Preparedness Goal.
- Homeland Security Teamwork—The ability of the multidiscipline organizations to work together towards achieving Homeland Security goals and objectives. Teamwork is comprised of five components which are Structure, Communication, Collaboration, Commitment and Trust.

## **V. RESULTS**

The research resulted in five measurable components of teamwork, which have three statements for each component that are incorporated into a metric to measure teamwork for local Homeland Security organizations. The following is a description of the five measurable components of teamwork and the statements used to quantify them. In addition, leadership and changing organizational culture were identified as critical to achieving teamwork among the multidisciplinary organizations that comprise local Homeland Security.

### **A. STRUCTURE**

The structure of the Homeland Security organization was identified as an important component of teamwork. Defined goals and objectives, the right people at the table, and measures of success are included in this component of teamwork. The structure of local Homeland Security organizations must include—at a minimum—the core agencies identified by the DHS. They are Law Enforcement, Fire Service, Emergency Management, and Public Health. With regionalization, community-wide Homeland Security organizations may consist of several other agencies within each of these disciplines. For example, it is common in Urban Area Security Initiative (UASI) regions that law enforcement agencies—both municipal police and county sheriff offices—have community-wide law enforcement missions that require each agency to provide Homeland Security representation. For an effective local Homeland Security organization, every agency with responsibility or resources critical for prevention, protection, response, and recovery of events of mass effect must be represented. The following statements measure how well a specific Homeland Security organization is structured.

1. The Homeland Security organization mission and goals are written, defined, quantifiable, acknowledged and accepted by all of its members.

2. The Homeland Security organization members have methods in place to periodically measure their progress towards the defined mission and goals.
3. The Homeland Security organization is represented by the four key disciplines and the membership is knowledgeable and competent within their respective disciplines.

## **B. COMMUNICATION**

How well the Homeland Security organization communicates—within and outside the team—is a critical component of teamwork. This is inclusive of all types of communications including the many variations of written and verbal communications. In addition, having the ability and culture where information is shared among the different agencies involved in the Homeland Security mission, is covered by this component. Communications is often cited as lacking within many organizations. Homeland Security organizations must have a structure and protocol in place where information can be shared throughout the organizations and throughout the many different disciplines that participate in achieving the defined goals and objectives. The protocol should be designed to overcome the differences in lexicon that exist between the various disciplines. The following statements were developed to measure communications.

1. The Homeland Security organization's work is planned, organized, and communicated to all members.
2. The Homeland Security organization's members are kept well informed about information, events, changes, or data that might affect their particular work.
3. The Homeland Security organization's members present recommendations and decisions to their leaders and partner organizations that effect the Homeland Security organization.

## **C. COLLABORATION**

The following statements were designed to measure how well the Homeland Security team collaborates among the multidiscipline organizational members. Collaboration can be defined as a progression from coordination to cooperation before achieving collaboration where resources are shared among organizations. Coordination is the lowest level at which the various agencies communicate with each other. Cooperation is the level at which agencies assist other agencies when requested. Collaboration occurs when the agencies involved are able to use each other's resources and expertise to accomplish the assigned goals and objectives. Collaboration cannot be achieved without accomplishing a significant level of communication, trust, and commitment. The barriers to collaboration are the focus of several Homeland Security study groups and have been stressed by the DHS as critical for achieving Homeland Security goals and objectives.

1. The Homeland Security organizations have a protocol for interaction, which fosters a collaborative environment.
2. The Homeland Security organization's members utilize each other's strengths, differences and unique capabilities.
3. The Homeland Security organization's members share resources and are willing to support each other's assigned tasks.

## **D. COMMITMENT**

The following statements are designed to measure the commitment of the team members and the leaders of the multidiscipline organizations that comprise the local Homeland Security team. Commitment is required from the organizations and the representatives who are assigned to the Homeland Security organization. The organizations must provide the time and resources needed to accomplish the established

goals and objectives. The personnel assigned to the Homeland Security organization must be willing to dedicate their time and expertise and are accountable for achieving assigned goals and objectives.

1. The Homeland Security organization members have decision authority and are given direction through supportive leadership.
2. The Homeland Security organization dedicates members that are consistent over time and take full responsibility and accountability for their assignments.
3. The Homeland Security organization is committed to devoting the resources needed to accomplish the established mission and goals.

## **E. TRUST**

The following are statements designed to measure the critical component of trust among the team members within and outside the Homeland Security organization. Trust is required for organizations to share responsibility and resources among the varied disciplines. Trust cannot be mandated and can only be achieved over time. Leaders must guard against organizational cultures where competition among agencies has resulted in perceived inequality. Politics and personal agendas must also be managed.

1. The Homeland Security organization's members are honest, mutually respectful and limit personal and agency agendas.
2. The Homeland Security organization's members build trust and relationships through working and training together towards shared goals.
3. The Homeland Security organization's members are respectful of other members' diverse perspectives, backgrounds and work assignments.

The five components of teamwork were derived from the research. The statements from other disciplines were converted by focus groups to be useful for local Homeland Security organizations. The components of teamwork and statements to measure them

were vetted through focus groups of Homeland Security professionals. Table 2 and Table 3 contain the results of the focus groups.

<b>Homeland Security Teamwork Requirements (Group #1)</b>	<b>Rating</b>
Requirement to cooperate informal and formally	2
Non-redundant capabilities/ prevent Mission Creep	2
Leadership mission oriented	1
Assigned roles and responsibilities	3
Capitalize on strengths support other agencies weaknesses	3
Knowing each others mission	2
Horizontal and vertical integration of day to day operations	2
At least monthly meetings	1
Capture opportunities to work together is everyday operations	2
Mutual respect	3
Each agency must be competent and reliable in the mission	3
Honesty amongst members throughout the organizations	3
Manage personality issues and conflicts/have the right people at the table	2
Acknowledgment of the goal	3
Be accountable to the final product	3
Sharing success and failures	2
Common established ethics	3
Dedication and commitment	2
Key decision makers/must have authority to make decisions for the organization represented	2
Expertise is respected by the group	2
Shared vision of safety standards and mission	3
Competent	3
Social connectivity	2
Fair and equal treatment of team members and shared work ethic	2
Enjoy the journey/laugh together	2
Communication must continue after the meeting/social net working	1
Communication structure must be established both formal and informal	2

Table 2. Homeland Security Requirements Ratings (Group #1)

<b>Homeland Security Teamwork Requirements (Group #2)</b>	<b>Rating</b>
Knowledge/competent within specialty	3
Mutual respect for each other mission	2
Authority to make decision and implement change	2.5
Relationship/trust built from training together all the time	3
Time/experience with one another	2
Diversity meaning different perspective and different backgrounds	2
Follow through with commitments	3
Commitment to the mission	3
Appropriate make-up of the Homeland Security team	3
Equality/everyone has a voice	2
Show respect for each other as people	2
Harmony/limit personal agenda's	3
Protocol for interaction/how the team will work	3
Compromise vs. collaboration ability	3
Defined goals and objectives	3
Regular meeting, monthly	1
Performance metrics. Keep on task and on schedule	2
Direction and leadership/not leader	3
Have a end product/the reason for the team	3
Meetings stay to time schedule	1
Economy of effort/equalize the workload	2
Sharing the workload	2
Positive attitude towards the mission	3
Organizational support for the team	3
Administrative support	2
Budget support to accomplish the mission	3

Table 3. Homeland Security Teamwork Ratings (Group #2)

The metric to measure teamwork contains the essential components that were identified by focus groups. Table 4 is a summation of the essential components identified by the two Homeland Security focus groups that were presented to Seattle Homeland Security for review. Those in red were deleted from the metric by the Seattle focus group after thorough discussion. The number following the essential component indicates where in the metric the statement is captured. For example, #4-3 indicates the fourth category—which is Commitment—and the third statement is the exact location for the component.



### **Focus Group #1**

Assigned roles and responsibilities (#4-2)  
Capitalize on strengths support other agencies weaknesses (#3-2)  
Mutual respect (#5-1)  
Each agency must be competent and reliable in the mission (#1-3)  
Honesty amongst members throughout the organizations (#5-1)  
Acknowledgment of the goal (#1-1)  
Be accountable to the final product (#4-2)  
**Common established ethics (deleted by Seattle focus group)**  
**Shared vision of safety standards and mission (deleted by Seattle focus group)**  
Competent (#1-3)

### **Focus Group #2**

Knowledge/competent within specialty (#1-3)  
Relationship/trust built from training together all the time (#5-2)  
Follow through with commitments (#4-2)  
Commitment to the mission (#4-2)  
Appropriate make-up of the Homeland Security team (#1-3)  
Harmony/limit personal agenda's (#5-1)  
Protocol for interaction/how the team will work (#2-1)  
Compromise vs. collaboration ability (#2-1)  
Defined goals and objectives (#1-1)  
Direction and leadership/not leader (#4-1)  
Have an end product/the reason for the team (#1-1)  
**Positive attitude towards the mission (deleted by Seattle focus group)**  
Organizational support for the team (#4-1)  
Budget support to accomplish the mission (#4-3)

Table 4. Components Rated Essential for Local Homeland Security Organizations

## **F. LEADERSHIP**

The requirement for focused leadership in achieving teamwork was pervasive throughout the research. The majority of the literature was written for leaders who are attempting to accomplish teamwork. This critical component of teamwork was not included in the metric because of the complexity involved in defining leadership and the lack of concrete measurability. The findings of the researcher on leadership can be found in the discussion section of the thesis.

## **G. SUMMATION**

The Seattle focus group was tasked with making the proposed metric useful for Homeland Security organizations. The group supported the five components and the metric structure with no changes. However, the focus group made significant changes to the statements used to measure each of the teamwork components. This resulted in the final metric to measure teamwork for local Homeland Security organizations (see APPENDIX A).

The barriers to teamwork were also identified during the research. Although not the primary focus of the researcher, the barriers directly impact the achievement of teamwork among the multidiscipline organizations that comprise local Homeland Security. Two primary factors that were identified are leadership and overcoming existing cultures. These factors are directly related to achieving the Homeland Security mission. Believing in the adage “what gets measured gets done” drove the creation of the teamwork metric. The next section offers clarification to the leadership and organizational culture hurdles to achieving teamwork.

## **VI. DISCUSSION**

The research revealed the five components of teamwork along with leadership as critical to achieving teamwork among the multidiscipline organizations that comprise local Homeland Security. In this section the researcher provides personal perspective from the research on Homeland Security teamwork and offers evidence into other conceptual areas that are components to achieving teamwork.<sup>44</sup> Additional research was conducted on leadership and organizational change to support the researcher's conclusions.

### **A. LEADERSHIP**

Leadership is the cornerstone of the foundational teamwork required for local Homeland Security organizations. Teamwork cannot be achieved without focused leadership committed to changing organizational cultures and achieving the community-wide capabilities that Homeland Security requires. There is current Homeland Security research that supports this argument.<sup>45</sup> The need for leadership cannot be overstated and the following provides support for this position.

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<sup>44</sup> The initial bias of the research was to focus on the concrete components of teamwork and avoid the theoretical. During the thesis process the importance of Leadership in achieving teamwork required that it be discussed. This section contains a summation of the researcher's views on leadership and changing culture as it relates to the thesis topic. It is not meant to be comprehensive research on Homeland Security Leadership.

<sup>45</sup> Hagan, "Interagency Collaboration Challenges Among Homeland Security Disciplines in Urban Areas," Hocevar, et al., "Building Collaborative Capacity: An Innovative Strategy for Homeland Security Preparedness," Sunchlar M. Rust, "Collaborative Network Evolution: The Los Angeles Terrorism Early Warning Group" (Naval Postgraduate School, Monterey, CA, 2006), Templeton, "Assessing the Utility of Work Team Theory in a Unified Command Environment at Catastrophic Incidents," as primary Homeland Security references for this thesis and provide the basis for this statement. Additional references used to build the metric can be found in the bibliography. It is recommended by the researcher that anyone seeking in-depth research on Homeland Security culture and leadership reference these papers.

## 1. A Discussion with Homeland Security Leaders

As part of the Master's Degree program at the CHDS, the students are required to participate in a discussion on leadership and Homeland Security. The assignment requires everyone to write on the subject followed by debate. The text used to frame the debate is a book by James MacGregor Burns called *Transforming Leadership*.<sup>46</sup> In the text Burns provides an historical review of how leaders have tried to transform the social and global challenges they have faced. Burns states that all leadership is collective and that transforming leadership is at a higher plane than the more traditional transactional leadership. The following quotes come from current leaders of Homeland Security organizations who participated in the discussion.

Annemarie Conroy who led the Homeland Security efforts in the San Francisco Bay area captures the need for effective transactional leadership in Homeland Security in the following statement:

In the emerging world of Homeland Security, leaders need to be good transactional leaders in order to be effective transforming leaders. A mastery of transactional skills, understanding the mechanics of getting things done, building coalitions, vigorous debate, analyzing issues, 'practical, give and take leadership' ... and compromise are all essential to the success of transformational goals. Without transactional skills, a leader is incapable of transforming institutions.<sup>47</sup>

The traditional forms of leadership have to be combined with the alternative forms if transformation of organizations is going to occur. Achieving Teamwork among the multidiscipline organizations that comprise local Homeland Security will transform our traditional agencies into one community-wide Homeland Security organization.

Collective leadership is where decisions are made within a collaborative environment. Homeland Security requires collective leadership, which is captured in a posting by Richard Schwein, Jr., Supervisory Special Agent-Military Liaison Officer with the Federal Bureau of Investigation assigned to USSOCOM, who discussed the leadership used by the founding fathers in building the United States of America:

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<sup>46</sup> James MacGregor Burns, *Transforming Leadership* (New York, NY: Grove Press, 2003).

<sup>47</sup> Annemarie Conroy, "Transforming Leadership Fails Without Transactional Leadership," posted for discussion on Leadership 10 September 2005.

Future Homeland Security leaders would do well to emulate the collective leadership style of our founders. They must engage the public to fully understand their needs and expectations. They must learn to work in an integrated and unified manner across all levels of government. They must be innovators, adept at facilitating imaginative, decisive, and quickly implemented changes.<sup>48</sup>

Local Homeland Security organizations are comprised of multidiscipline members who have diverse knowledge, skills and abilities. The participants' expertise becomes an integral part of the decision making process. Bob Brooks, Sheriff of Ventura County, California, summarizes the importance of collective leadership by stating, "The final category of leadership was the collective leadership. At the highest level of the war on terrorism, this is the only way success can be achieved."<sup>49</sup>

Mike McDaniel, Assistant Adjutant General for Homeland Security for the Department of Military & Veterans Affairs (DMVA), captures the consensus of the group in the following statement:

Homeland Security leaders have to rise above the bureaucracy; have to see the strategic picture; have to wonder, to speculate, to ponder the possibilities. In short, it is a position which demands imagination, intellectual curiosity, the ability to rise above the stultifying mass of procedures and requirements imposed by DHS, state and local law, and internal administrative procedures....More than that, HS leaders must also be able to persuade others of the need for strategic thinking, long range planning, and collective decision making. I can think of no field that requires collectivity of leadership more than HS.<sup>50</sup>

Homeland Security leaders understand that teamwork is needed to build the capabilities required and teamwork cannot be accomplished without this leadership throughout all levels of the organization. Leadership from the bottom<sup>51</sup> is a term that can be used to describe how transformational change can be initiated from any member of the

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<sup>48</sup> Richard Schwein, Jr., "Collective Leadership," posted for discussion on Leadership 2 September 2005.

<sup>49</sup> Bob Brooks, "Complex Problems Require Complex Transformational Styles," posted for discussion on Leadership 25 August 2005.

<sup>50</sup> Mike McDaniel, "Collective Leadership at Its Best," posted for discussion on Leadership 11 September 2005.

<sup>51</sup> Leadership from the bottom is an adage used by the researcher and is a statement often used within the Fire Service.

organization. While leader is a position, leadership is an act. Effective Homeland Security leaders must be able to recognize when to lead and when to step into a supportive role that allows the organization to move forward.

Leadership has many levels that leaders must follow for success to occur. Burns describes this well in the chapter from his book titled *The Leader-Follower Paradox* where he states:

The resolution of the paradox lies initially, I believe, in the distinction between persons with unrealized wants, unexpressed attitudes, and underlying predispositions, on the one hand, and, on the other, persons with strong motivations to initiate an action relevant to those with such wants. The key distinctive role of leadership at the outset is that leaders take the initiative. They address their creative insights to potential followers, seize their attention, and spark further interaction. The first act is decisive because it breaks up a static situation and establishes a relationship. It is, in every sense, a *creative act*.<sup>52</sup>

The creative leadership described by Burns is what Homeland Security requires. Community leaders may lack the vision required to transform our existing structures into committed Homeland Security organizations that communicate and collaborate effectively towards a defined mission. In this circumstance, leadership from within the organizations will have to drive the change. Burns focus on the interrelationship of leadership and followership has found support. William Rosenbach has become renowned for his focus on followership presenting multiple perspectives on the leader-follower relationships. In his text titled *Contemporary Issues in Leadership* he states:

In Conclusion: Leadership Is Everyone's Business...In classes and workshops we regularly ask people to share a story about a leader...whose direction they would willingly follow...From this exercise we hope they will discover for themselves what it takes to have an influence on others...[We] want them to discover the power that lies within each of us to make a difference.<sup>53</sup>

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<sup>52</sup> Burns, *Transforming Leadership*, p. 172

<sup>53</sup> William E. Rosenbach and Robert L. Taylor, *Contemporary Issues in Leadership: Fourth Edition* (Boulder, CO: Westview Press, 1998), 228.

The need for leadership at all levels is heightened because of the multidisciplinary make up of local Homeland Security organizations and the lack of a defined leader.

## **2. A Leadership Story and Its Relationship to Homeland Security**

The building of the Panama Canal is one of the many historical references Burns uses to illustrate transformational leadership. Having visited the Canal, the researcher was not surprised by the reference. An in-depth study into the failures and success of building the Panama Canal offers important lessons to leaders who are attempting to build effective Homeland Security organizations. The following is the researcher's conclusions on leadership and the Panama Canal.

Joseph De Lesseps was an established transformational leader. Through his passion and single mindset, he was able to overcome substantial obstacles to build the Suez Canal. His successes as a planner, diplomat and promoter made him the most celebrated man in Europe. Because of these successes, De Lesseps believed the same approach he used for the Suez Canal could accomplish a canal across Panama. However, the differences in climate, terrain and sea level required a dramatically different approach. De Lesseps' inability to recognize the differences between the Suez Canal and the dream of the Panama Canal contributed to a massive failure, which left him desolate.

President Theodore Roosevelt is given credit for being the visionary who was able to accomplish a canal in Panama. His leadership and political will was the driving force in building an American-controlled canal. Roosevelt demonstrated adaptive leadership after initial efforts to build the canal failed. Triumph came only when the right people were placed in the key places of leadership.

It is common for George Washington Goethals and Dr. William Gorgas to receive the majority of the praise for building the Panama Canal. Goethals for his leadership and the engineering genius, and Gorgas for his eradication of malaria and yellow fever by mass fumigation of mosquitoes which was essential to maintaining a viable work force. Examples of leadership, that provided the foundation for the canal's ultimate success, were found in the research of Goethals' predecessors.

John Wallace was the first Panama Canal engineer assigned by Roosevelt in 1904. He brought a controlling leadership style that treated employees like machines. The work stalled as thousands died from malaria. After one year he admitted defeat, blaming the failure on lack of money. Enter John F. Stevens, who halted all work for over a year until adequate housing could be built. He treated workers as valuable assets and focused on the eradication of yellow fever and malaria by implementing the plan offered by Gorgas. The results were a motivated and loyal work force. Ultimately, Stevens was the one who convinced Roosevelt to change to a lock and dam system, which was fundamental in achieving the canal's success.

Stevens provided the foundation that made the Panama Canal project viable. In addition, he was able to accomplish a successful transfer of the project when Roosevelt assigned Goethals to the project after Stevens' resignation in 1907. Goethals provided the leadership to complete the project but recognized that the foundation for success had already been built. In a letter to his son, Goethals wrote:

Mr. Stevens has perfected such an organization...that there is nothing left for us to do but just have the organization continue in the good work it was done and is doing...Mr. Stevens has done an amount of work for which he will never get any credit, or, if he gets any, will not get enough...<sup>54</sup>

The lessons of the building of the Panama Canal are applicable to our attempts to build viable local Homeland Security organizations. There is not a cookie cutter plan that can be copied from past experiences. Transformational, transactional, and adaptive leadership are required when establishing a foundational plan for our Homeland Security organizations. The adage *the devil is in the details*<sup>55</sup> is appropriate when developing plans to provide a metamorphosis of the agencies required for achieving Homeland Security. Transformational leaders must have the ability to identify talent and place them in an environment where they can succeed. Effective leaders have to get buy-in from followers or progress will not be accomplished. Both effective leaders and effective

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<sup>54</sup> Panama Canal Review, "Balboa Circle Renamed to Honor Canal Engineer" (September 7, 1962): 35. Article can be found at <http://www.czbrats.com/Builders/stevens.htm> [Accessed February 11, 2007].

<sup>55</sup> This saying is generally attributed to Gustave Flaubert (1821-80), who is often quoted as saying, 'God is in the details'. 'The Devil is in the details' is a variant of the proverb, referring to a catch hidden in the details. 'Governing is in the details' and 'The truth, if it exists, is in the details' are recent variants.



followers are essential to task completion. When successes are found, credit should be deferred from the leader to the team. The effort to reform our local response agencies into effective Homeland Security organizations is in need of a Stevens' type leadership that can establish a foundation of teamwork on which future successes can be built. Putting the right people in the right place, while providing an environment of teamwork, are the keys to success.

### **3. Psychology and Leadership**

Burns references the relationship to human psychology and leadership. The researcher has been a student of both fields of study and believes these concepts provide a useful reference for Homeland Security leadership. Maslow is referenced in Burns' text and is recognized as one of the first psychologists to study successful people. The following reference comes from a book titled *Maslow on Management*:<sup>56</sup>

Abraham Maslow is often referred to as the father of Third Force Psychology. The Third Force (also referred to as humanistic psychology) was a body of knowledge and theories separate from the behaviorist and Freudian movements. Throughout much of his life, Maslow argued for a new philosophy of humanity to help recognize and develop the human capacity for compassion, creativity, ethics, love, spirituality, and other uniquely human traits.<sup>57</sup>

The collective leadership referenced by Homeland Security professionals parallel Maslow's position that teamwork leads to a synergistic effect. The importance of leadership within teams is captured when Maslow states, "The more influence and power you give to someone else in the team situation, the more you have for yourself."<sup>58</sup>

Maslow's research on basic human needs provides leaders incentive to provide attainable goals and objectives. Maslow's *Hierarchy of Needs*<sup>59</sup> is referenced often in management as it provides understanding to basic human behavior, "All human beings

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<sup>56</sup> Abraham Maslow, *Maslow on Management* (New York, NY: John Wiley & Sons, Inc., 1998).

<sup>57</sup> Maslow, *Maslow on Management*, 3.

<sup>58</sup> Ibid, 108.

<sup>59</sup> Ibid, 3.

prefer meaningful work to meaningless work. This is much like stressing the high human need for a system of values, a system of understanding the world and of making sense out of it... If work is meaningless then life comes close to being meaningless.”<sup>60</sup>

The Homeland Security mission provides a perfect vehicle for meeting basic human needs of its participants. The Homeland Security leaders must provide a vision that allows everyone to understand what they are working for. This vision has to be supported with adequate time and necessary resources to meet established goals and objectives. Leadership becomes easily with a motivated work force and Maslow provides the roadmap to achieve such a goal for Homeland Security. Both effective leaders and effective followers are essential to task completion.

## **B. LEADERLESS TEAMS**

It is important to draw a distinction between leadership and leaders. “Leader” is a position; however the position does not guarantee leadership, which is an act that can be conducted by anyone regardless of position within a group or organization. Burns writes extensively on what is at the core of leadership:

...[T]he relations between leaders and followers and among followers – has at its affective core efficacy and self-efficacy, individual and collective, the feelings of deep self-confidence, hope and expectation that goals can be attained and problems solved through individual or collective leadership....The higher the efficacy, the greater the participation the greater the participation, the larger the potential for success; and the larger the potential for success, the higher the efficacy. Mutual aid and obligations, comradeship, shared values and goals – all enhance and are enhanced by collective efficacy.<sup>61</sup>

The majority of local Homeland Security organizations are new and therefore lack a defined and authoritative leader.<sup>62</sup> The Department of Homeland Security was put

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<sup>60</sup> Maslow, *Maslow on Management*, 116.

<sup>61</sup> Burns, *Transforming Leadership*, 224-225.

<sup>62</sup> This is the assertion of the researcher from his background with no significant research offered in support.

together less than five years ago and attempts to form local Homeland Security organizations are continuing. It is common for local Homeland Security organizations to be loosely organized with varied representation from the multidiscipline organizations that bring resources and capabilities to the relatively new mission. Initially, these local organizations had periodic meetings where they discussed how the local organizations were going to address the latest grant requirements. As DHS continues to dictate requirements, these groups are solidifying their structure in attempts to coordinate efforts to achieve compliance. Many of these groups are evolving without a designated leader who can dictate to the participating agencies the time and resources needed to accomplish the evolving goals and objectives. This is sometimes called “shared leadership.” The organizations come to the table to build consensus and in many cases these organizations appear to be leaderless teams. In reality, the leadership function is being shared.

### **1. A Teamwork Analogy for Community Leaders**

The following is a story that relates sports and the local Homeland Security profession. The purpose is to provide clarity to the researcher argument for teamwork in achieving local Homeland Security capabilities.

The researcher poses the following question: What if you had a football team without a head coach? For reasons that do not matter for this discussion, the owners have tasked the general manager with the operations of the football team without a single leader. The general manager’s expertise relies in managing the day-to-day operations of the whole organization; however the manager lacks the expertise to institute a play book, train and equip personnel, and call plays. Could the team succeed? Yes, if teamwork is achieved throughout the organization.

To achieve teamwork, it would require that the specific leaders of each discipline (offensive, defensive, and special team coaches) practice *Collective* leadership. A defined *Structure* has to be established where measurable goals and objectives are in place and progress is evaluated. *Communication* protocols must be established so that information flows both inside and outside the team. Members must be able to

communicate freely about their capabilities and develop operational procedures and plans that maximize each other's knowledge, skills and abilities. A *Collaborative* culture must be present so that the coaches and players are not competing against each other for fame or credit. In short, everyone must be pulling on the same rope. For example, if the defensive coach has a player who has skills the offense needs, a collaborative environment allows for that player to be used for certain offensive plays because that is best for the organization. The special teams coach will need to access key players for game time situations as well and must be able to communicate those needs to the offensive and defensive coaches.

Increasing the capabilities of the personnel becomes the focus of the organization and how they perform on game day will ultimately define success. The general manager must demonstrate *Commitment* to the organizations by providing the resources (equipment, money, and personnel) and time necessary to build capabilities. Game day decisions are shared with the appropriate coach making situational decisions according to each coach's expertise and pre-defined responsibilities. *Trust* must exist between the coaches in order for them to support each others' priorities and goals. The coaches must support each others' objectives and methods knowing this will allow the team the best chance of success. This trust can only be built over time and through shared experiences.

Controversy (conflict between players), hard times (after losses), and new challenges will be the critical test on how well the leaderless organization will work. A united front is required to manage adverse situations. The ultimate test comes when there is a new or emerging threat that may not be clearly defined. As an example, if there is a new team or a system that the team has not faced before, the coaches must be able to reach agreement on the importance of changing offensive or defensive schemes to meet the new threat. If the new threat is not guaranteed to be on the schedule, the urgency to understand and address the new threat lessens significantly. The coaches may decide to stay focused on existing plans and known challenges.

The general manager must be able to provide direction about the use of existing resources, expansion of capabilities, and provide an overall plan for the future. If the new

threat has been defined as significant and requires the team be prepared, the general manager will be faced with significant challenges in changing the perspective of the existing coaches and those within the different disciplines. Just because the owners and the general manager have stated the need for planning and preparedness, the coaches may not see the urgency or understand why changes are necessary. The coaches will predictably be focused on what has worked in the past and may be unwilling or unable to grasp the importance of shifting time, resources and personnel to address the new threat. Without a head coach, it is the responsibility of the general manager to refocus the team to the emerging threat.

In the researcher's view, the circumstances of local Homeland Security—in the large majority of metropolitan cities—are analogous to a football team without a head coach. Many communities benefit from agencies that have the expertise and knowledge to assist in achieving Homeland Security goals and objectives. The leaders of these agencies—Law Enforcement, Fire Service, Emergency Management, Public Health, and others—are tasked with achieving the Homeland Security mission but have no direct authority mandating how they operate.

If these multidiscipline leaders have a defined *Structure* that facilitates *Communication* throughout the multidiscipline organizations and promotes a *Collaborative* environment where qualified and *Committed* personnel can share resources, teamwork can be achieved. Through focused leadership and time a culture of *Trust* can be achieved and the foundation for local Homeland Security will be solidified. Without teamwork, our preparedness efforts will suffer and our capabilities to prevent, protect, respond and recover from events of mass effect will be ineffective.

### **C. CHANGING CULTURE**

It is not the strongest of the species that survives, nor the most intelligent;  
It is the one that is most adaptable to change.

--Charles Darwin

There has been in-depth research into organizational cultures among the multidiscipline organizations that comprise local Homeland Security.<sup>63</sup> The personnel that comprise local Homeland Security organizations come from varied cultures and leaders must clarify the culture for the new group. A working definition of culture can be found from Edward Greenburg who writes:

First, we should note that culture is determined by common experiences, geography, language, and history. These are antecedents of culture, and not culture per se. Antecedents of culture should not be confused with the construct of culture. Second, culture sets the stage for behavior, but does not include behavior. Behaviors are consequences of culture and should not be confused with construct. Third, culture is a stable system in equilibrium..... However, as geography, history, religion, and other shared experiences change, so does culture. Fourth, culture is a latent construct that can be examined only through a host of less than perfect indicators.<sup>64</sup>

Edgar Schein has written extensively on organizational culture, leadership and the evolution of groups. His research provides useful information for leaders to further understand group theory. It is important to understand the relationship between group theory and the existing culture of a group. The following Figure 3 shows the evolution of groups from formation to maturity:

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<sup>63</sup> Hagan, "Interagency Collaboration Challenges Among Homeland Security Disciplines in Urban Areas," Hovevar, et al., "Building Collaborative Capacity: An Innovative Strategy for Homeland Security Preparedness," Templeton, "Assessing the Utility of Work Team Theory in a Unified Command Environment at Catastrophic Incidents".

<sup>64</sup> Jerald Greenberg, *Organizational Behavior: Second Edition* (Hillsdale, NJ: Lawrence Erlbaum Associates, 2003), 379.

<b>Stages of Group Evolution</b>		
Stage	Dominant Assumption	Socio-emotional Focus
1. Group formation	<i>Dependence:</i> “The Leader knows what we should do.”	<i>Self-Orientation:</i> Emotional focus on issues of (a) inclusion, (b) power and influence, (c) acceptance and intimacy, and (d) identity and role.
2. Group Building	<i>Fusion:</i> “We are a great group; we all like each other.”	<i>Group as Idealized Object:</i> Emotional focus on harmony, conformity, and search for intimacy. Member differences are not valued.
3. Group Work	<i>Work:</i> “We can perform effectively because we know and accept each other.”	<i>Group Mission and Tasks:</i> Emotional focus on accomplishment, teamwork, and maintaining the group in good working order. Member differences are valued.
4. Group Maturity	<i>Maturity:</i> “We know who we are, what we want, and how to get it. We have been successful, so we must be right.”	<i>Group Survival and Comfort:</i> Emotional focus on preserving the group and its culture. Creativity and member differences are seen as threat

Figure 3. Stages of Group Evolution  
(From Ref. Organizational Culture and Leadership)<sup>65</sup>

Schein’s description of the evolution of groups provides evidence that achieving teamwork in Homeland Security is a continual process that requires comprehension. The existing organizational cultures between law enforcement, fire service, emergency management, and public health have been defined.<sup>66</sup> Those working within the Homeland Security environment must understand the existing cultures if they are to be effective in developing a new culture of teamwork.

The cultures vary even within the specific disciplines that comprise local Homeland Security. For example, the fire service is comprised of organizations that have both paid, and volunteer membership. Fire service based Emergency Medical Services

<sup>65</sup> Edgar H. Schein, *Organizational Culture and Leadership: Third Edition* (San Francisco, CA: Jossey-Bass, 2004), 70.

<sup>66</sup> Hagan, “Interagency Collaboration Challenges Among Homeland Security Disciplines in Urban Areas,” Douglas R. Templeton, “Assessing the Utility of Work Team Theory in a Unified Command Environment at Catastrophic Incidents”.

(EMS) has become the culture in the majority of the metropolitan cities, however it has not been accepted universally. This additional complexity of varied culture within existing disciplines increases the need for leadership that understands how to create a new culture of teamwork for Homeland Security.

The eight critical components for implementing change in organizations, developed by John P. Kotter and used by management and business leaders, provides a clear road map for leaders to follow:

- Establishing a Sense of Urgency
- Forming a Powerful Guiding Coalition
- Creating a Vision
- Communicate the Vision
- Empowering Others to Act on the Vision
- Planning for and Creating Short Term Wins
- Consolidating Improvements/Producing more change
- Institutionalizing New Approaches<sup>67</sup>

The Kotter model is often referenced but its first step can be problematic for public safety leaders. The urgency established by the events of September 11, 2001 has faded, forcing Homeland Security issues into the background. How do community leaders gain a sense of urgency to accomplish Homeland Security goals and objectives? The researcher believes it is a failure of leadership if the answer to the question is that we wait for another event to happen. If legitimate urgency cannot be established, change can be effected with other strategies. In a book titled *Strategic Planning for Public and Nonprofit Organizations*, John M. Bryson offers a more effective model for the majority of communities where the urgency for change is absent:

- Communicate effectively (through active listening, dialogue, and other conflict management methods)
- Balance unity around a shared purpose with diversity of views and skills
- Define a team mission, goals, norms, and roles

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<sup>67</sup> David Williamson, Wyn Jenkins, Peter Cooke and Keith M. Moreton, *Strategic Management and Business Analysis* (Burlington, MA: Elsevier Butterworth-Heinemann, 2004), 39.



- Establish an atmosphere of trust
- Foster group creativity and sound decision making
- Obtain necessary resources
- Develop leadership competencies
- Celebrate achievement and overcome adversity<sup>68</sup>

The need for culture change amongst the multidiscipline organizations that comprise local Homeland Security is evident.

The subjectivity and complexity of culture requires strategic planning when attempting to change organizations. Bryson provides support for strategies to address culture for Homeland Security organizations stating:

What are our philosophy, values, and culture? The importance of reflecting upon and clarifying an organization's philosophy, core values, and culture becomes most apparent in the strategy development step. Only strategies that are consonant with the philosophy, core values, and culture are likely to succeed; strategies that are not consonant are likely to fail unless culture change is a key part of the strategy.<sup>69</sup>

The relationship of Homeland Security culture is intertwined with teamwork and leadership. Homeland Security leaders must provide the structure where committed personnel can communicate and collaborate towards accomplishing the Homeland Security mission, while establishing a culture of trust. Those in charge of building the local Homeland Security organizations must put the right people at the table and provide the time and resources needed to accomplish the long-term goals and objectives. Those personnel assigned to the local Homeland Security organization must facilitate collective leadership within the organization, where leadership is displayed at all levels, allowing each member to contribute according to their applicable knowledge, skills and abilities.

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<sup>68</sup> John M. Bryson, *Strategic Planning for Public and Nonprofit Organizations* (San Francisco, CA: Jossey-Bass, 2004), 307-308.

<sup>69</sup> Ibid, 116.

## 1. Traits for Public Safety Leaders and Organizational Change

The need for leadership has been the focus of this section.<sup>70</sup> The researcher has participated in courses and seminars on leadership directly related to Homeland Security.<sup>71</sup> During a 2006 keynote address at one such seminar, the speaker listed the following as essential traits of successful public safety leaders:

- Moral Compass
- Emotional Intelligence
- Intellectual Curiosity
- Ability to communicate complex terms
- Empathy<sup>72</sup>

The following discussion is a brief description of each these essential traits after discussions with the author.

Having a **moral compass** requires the leader to have established values and ethics that are in compliance with the group. Burns states in the chapter from his book titled *The Power of Values*:

Leaders embrace values; values grip leaders. The stronger the value systems, the more strongly leaders can be empowered and the more deeply leaders can empower followers. The transformational dynamic that mutually empowers leaders and followers involves, as we have seen, wants and needs, motivation and creativity, conflict and power. But at its heart lies values.<sup>73</sup>

**Emotional intelligence** may be the single most important factor in building a cohesive team. Collective leadership requires leaders with inter-personnel skills who can interact effectively with personnel at all levels of the organization. The aptitude to connect with others summarizes this trait. The ability to motivate, console, communicate,

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<sup>70</sup> The following summarizes the researcher's position: Leadership is an act, where leader is a position. Leaders get things done.

<sup>71</sup> The researcher is an instructor for the Leadership series at the National Fire Academy and a 2004 graduate of the four-year Executive Fire Officer Program.

<sup>72</sup> Jack McCartt, "Contemporary Public Safety Leadership" (Kansas HazMat/WMD Symposium, Wichita KS October, 28, 2006).

<sup>73</sup> Burns, *Transforming Leadership*, 211.

and build trust are examples of the competencies required. There is a lack of consensus when searching for a definition. The following is one example:

Emotional Intelligence, a concept which has its roots in the theory of social intelligence, is the ability to sense, understand and effectively apply the power and acumen of emotions as a source of human energy, information, and influence.<sup>74</sup>

**Intellectual curiosity** references the leader's willingness to look at cause and effect and to question existing norms. Seeking the facts, researching the science, and exploring circumstances are examples of this component of an effective public safety leader. This is especially applicable to Homeland Security leaders who form the rules and regulations for the future. Without due diligence, current leaders may be accepting existing norms that are ineffective in achieving the long term goals and objectives the Homeland Security mission requires.

The **ability to communicate complex terms** is applicable to Homeland Security leaders. They are often faced with explaining directives and requirements to varied disciplines where the different cultures lack a common language and experience. Colin Powell has been quoted in several writings on leadership as saying, "Great leaders are almost always great simplifiers, who can cut through argument, debate and doubt, to offer a solution everybody can understand."<sup>75</sup>

Homeland Security is a new discipline needing to attract the best and the brightest with strong communication skills. The local Homeland Security organizations must have the appropriate representation from the primary multidiscipline organizations. Having the right people at the table is a requirement for achieving an effective Homeland Security organization.

**Empathy** is the ability to display caring for the personnel assigned to the mission. This component does not mean the leader shows pity or expresses an overabundance of sympathy. This requires the leader to be in tune with the organization and the challenges and obstacles its members are experiencing. When organizational members perceive the

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<sup>74</sup> Rebecca Elaine Rehfeld, "Organizational Trust & Intelligence: An Appreciative Inquiry Into the Language of the Twenty-first Century Leader" (Capella University, Minneapolis MN, 2001), p. 14.

<sup>75</sup> Oren Harari, *The Leadership Secrets of Colin Powell* (New York, NY: McGraw-Hill, 2002), 255.

leaders care for the well-being of the employees, the members are more likely to take ownership in the organization, creating a positive attitude resulting in increased productivity.

#### **D. SUMMATION**

Teamwork is the foundation on which to build our local Homeland Security organizations. Kevin Eack, who is the Senior Terrorism Advisor for the Illinois State Police where he is in charge of the Office of Counter Terrorism, captures this simple truth in a statement:

If I have learned one thing in my twenty-two years in law enforcement it is that gaining the support of a diverse group of professionals to work a problem as a TEAM is the key. If you have the ability to choose those team members (formally or informally) it is even better. Once a team of highly motivated professionals begin to really work a problem, great things can be accomplished. This is particularly true when the objective is as laudable as protecting citizens from crime, corruption or in this case terrorism. It is then that the whole becomes much greater than its parts.<sup>76</sup>

Homeland Security organizations that implement the five components of teamwork will have the foundation on which to build the capabilities needed for the Homeland Security mission. Homeland Security Presidential Directive (HSPD) #8 provides leaders with target capabilities that need to be developed to effectively handle events of mass effect. Homeland Security leaders must provide the vision and the necessity of building capabilities to meet these requirements before they can be achieved. These fundamental steps are lacking in many local Homeland Security organizations. The work for Homeland Security leadership is captured in the following quote from a

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<sup>76</sup> Kevin Eack, "Homeland Security is a Team Sport," posted for discussion on Leadership 25 August, 2005.

Homeland Security educator: “It is leadership’s job to reconfigure the homeland security system, to make the system’s outputs conform to the priorities of our national strategy.”<sup>77</sup>

The metric offered in this thesis provides transparency to Homeland Security teamwork. Without focused leadership willing to implement teamwork, Homeland Security organizations will struggle to achieve the capabilities required to meet the Homeland Security mission.

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<sup>77</sup> Christopher Bellivita, “What is Preventing Homeland Security?” *Homeland Security Affairs* 1, no. 1 (summer 2005): 3.

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## VII. RECOMMENDATIONS



Figure 4. The Foundation of Local Homeland Security

Teamwork is the foundation on which to build the pillars of local Homeland Security. The metric is designed by Homeland Security professionals as a self-assessment tool for local Homeland Security leadership that is striving to achieve the intent of Homeland Security mandates and directives. Collaboration is currently the focus of many initiatives within the Department of Homeland Security. The researcher's argument is that there is a distinct difference between teamwork and collaboration and that local Homeland Security requires teamwork. *Teamwork requires collaboration; however collaboration does not require all of the components of teamwork.* The research revealed that collaboration can be defined as the journey that starts with cooperation, progresses to coordination, and evolves into collaboration where resources are shared. In addition to collaboration, local Homeland Security requires a viable structure with a comprehensive communications network where commitment and trust are built over

time. There are varied definitions and discussions on collaboration and teamwork, and the purpose of the thesis is to bring focus to what is needed for local Homeland Security organizations.

Homeland Security leadership needs to become focused on teamwork. This thesis is framed around the adage, “what gets measured, gets done”. The metric produced by the research provides measurable steps to achieving teamwork and transparency for those evaluating progress. The metric is useless without focused Homeland Security leadership that is seeking to develop and sustain community-wide Homeland Security capabilities. Without teamwork, the multidiscipline organizations that comprise local Homeland Security will fail to gain the synergistic effect that teamwork provides and offers the forces that threaten our way of life a significant advantage. The following outlines the specific recommendations of the researcher.

## **A. STRUCTURE**

Local Homeland Security organizations must be provided a group structure where collective leadership and teamwork can be achieved among the primary multidiscipline organizations tasked with achieving the Homeland Security mission and capabilities. The core agencies identified by the DHS are Law Enforcement, Fire Service, Emergency Management, and Public Health. With regionalization, community-wide Homeland Security organizations may consist of several agencies within each of the disciplines. Every agency with responsibility or resources critical for prevention, protection, response, and recovery of events of mass effect should be represented. Representatives assigned to the local Homeland Security organization have to be competent within their field of expertise and have the ability to build consensus among the different disciplines. The group structure must provide a clear vision of the mission and provide goals and measurable objectives. Having the best and the brightest from each organization provides for the best chance for success.



## **B. COMMUNICATION**

The ability to communicate is the lifeblood of any team. Homeland Security organizations must have a communications structure and protocol in place where information can be shared within the group and throughout the many different disciplines that participate in achieving the defined goals and objectives. Clear lines of communication must be established and maintained. This is inclusive of all types of communications including the many variations of written and verbal communications. In addition, adoption of a culture where information is shared among the different agencies involved in the Homeland Security mission is required. The protocol should be designed to overcome the differences in lexicon that exist among the various disciplines.

## **C. COLLABORATION**

The local Homeland Security organizations must establish a collaborative environment where the different disciplines can share expertise and resources. The first step to collaboration is where the agencies cooperate with each other's requests and receive support for each other's goals and objectives. This is followed by a concerted effort to coordinate activities among the agencies, which requires constant communication. Collaboration occurs when the agencies are able to use each other's resources and expertise to accomplish the assigned goals and objectives. Collaboration cannot be achieved without accomplishing a significant level of communication, trust, and commitment. Leaders must limit the barriers to collaboration and provide the necessary authority to those assigned to the local Homeland Security team.

## **D. COMMITMENT**

Commitment is required from the organizations and the representatives who are assigned to the Homeland Security organization. The organizations must provide the time and resources needed to accomplish the established goals and objectives. The personnel assigned to the Homeland Security organization must be willing to dedicate their time and expertise and are accountable to achieving assigned goals and objectives. It is important that reasonable efforts are made to keep the same representatives involved to provide stability over time.

## **E. TRUST**

A culture of trust must be achieved. Trust is required for organizations to share responsibility and resources among various disciplines. Trust cannot be mandated and can only be achieved over time. Leaders should institute the steps necessary to change organizational cultures when competition among agencies has resulted in perceived inequalities. Politics and personal agendas must also be managed.

## **F. LEADERSHIP**

Finally, focused leadership is required to transform our Homeland Security organizations into a culture of teamwork. For those seeking teamwork, the tool provides transparency to the current level of teamwork and the steps necessary to improve. Community leaders who implement the five components of teamwork into their local Homeland Security organizations will obtain a synergistic effect that yields transformational results. When teamwork is achieved, the community will have the foundation to achieve the capabilities that are required to be able to prepare, prevent, respond and recover from events of mass effect.

## **G. RELIABILITY AND VALIDITY**

The face validity of the teamwork metric is found in the methodology used in its construction and the expertise and professionalism of those who participated in the focus groups. The reliability of the teamwork metric needs to be measured using predictive criterion, where those using the metric evaluate its accuracy in achieving teamwork months after implementation of the five components. Additional focus groups are needed to strengthen the argument of face validity and reliability. It is recommended that standard methodologies be used to establish the actual validity and reliability of the metric. Future researchers should strive to evaluate the effectiveness of the metric. Changes to the metric should be made after additional research to maintain its usefulness to Homeland Security leadership.

## **H. SUMMATION**

This thesis addresses the simple truth that teamwork and focused leadership are required to achieve local Homeland Security. The metric provides a conceptual framework that can be useful in achieving teamwork however it is not a refined product. In other words it is a beginning, not the end. The professionals who participated in the focus groups lacked the expertise in survey methodologies. Future research should include broader focus groups that include academic professionals who specialize in metrics and survey instruments. The methodologies should broaden to include random sampling that is inclusive of all types of local Homeland Security organizations. A comparison of on-going results from those using the metric is also needed. Adjustments to the metric should be made that improve its validity and reliability in measuring teamwork among the multidiscipline organizations that comprise local Homeland Security

The subject of leadership fell outside the original scope of this research but was found to be required in achieving teamwork. The leadership concepts presented focused

on Homeland Security and changing the cultures of public safety organizations. Additional research could focus on how changes in mission, funding, or time constraints impact teamwork. This kind of longitudinal research may yield changes to the metric or confirm its soundness.

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## **APPENDIX A**

The following is the Metric developed for local Homeland Security organizations to measure how well the agencies utilize the five researched components of teamwork. Included are the Base Metric, the Summation Sheet, and the Graphic Metric Summary with the mouse over comments. The example presented is the researcher's generic assessment of the current state of teamwork amongst the multidiscipline organizations that comprise local Homeland Security. The purpose is to demonstrate the functionality and configuration of the metric.

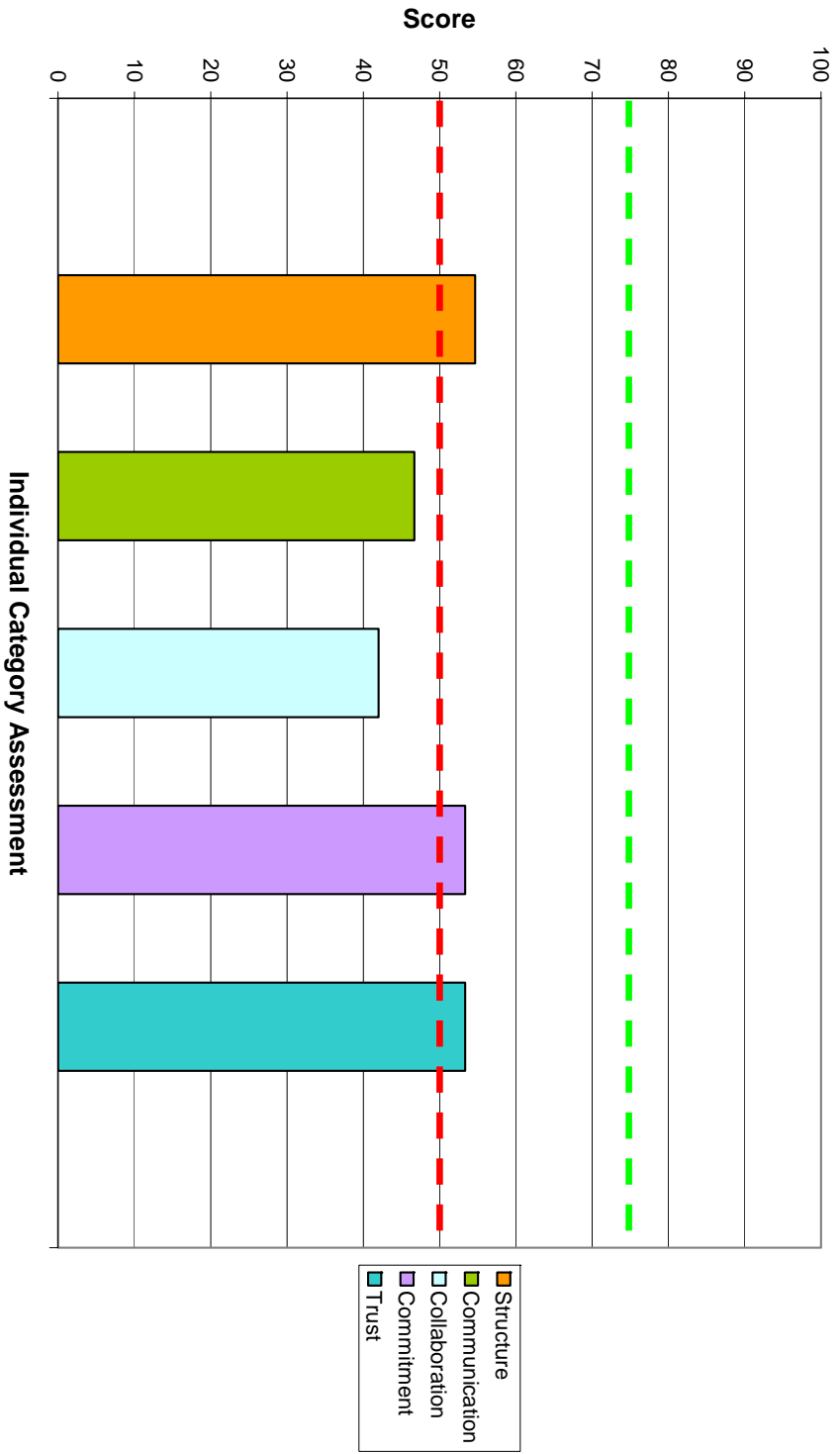
<b>Organization: General HLS Assessment</b>		<b>Rating Scale</b>
<b>Date: January 21, 2007</b>		
<b>Directions for Metric</b>		
<p>The following is a self assessment metric to measure teamwork for local homeland security organizations consisting of law enforcement, fire service, public health, and emergency management. <b>Fill in each cell shaded light gray.</b> Additional information regarding each category can be obtained by placing the cursor over the red triangle in the upper right corner of the category rating area. Each part of the metric represents a component of teamwork identified through research and focus groups of homeland security professionals. The rating scale requires that the number entered be <b>between 0 and 5</b>. After completing <b>all the questions</b> the results can be found on the summation sheet (click on tab at the bottom of this sheet).</p>		0 - Never 1 - Rarely 2 - Sometimes 3 - Usually 4 - Most Always 5 - Always
<b>Category 1</b>		
1. The Homeland Security organization mission and goals are written, defined, quantifiable, acknowledged and accepted by all the members.		2.0
2. The Homeland Security organization members have methods in place to periodically measure their progress towards the defined mission and goals.		2.0
3. The Homeland Security organization is represented by the four key disciplines and the membership is knowledgeable and competent within their discipline.		4.0
<b>Category 2</b>		
1. The Homeland Security organizations work is planned, organized, and communicated to all members.		2.0
2. The Homeland Security organization members are kept well-informed about information, events, changes, or data that might affect their particular work.		2.0
3. The Homeland Security organization members present recommendations and decisions to their leaders and partner organizations that effect the Homeland Security organization.		3.0
<b>Category 3</b>		
1. The Homeland Security organization has a protocol for interaction which fosters a collaborative environment.		1.0
2. The Homeland Security organization members capitalize on each other's strengths, differences and unique capabilities.		3.0
3. The Homeland Security organization share resources and is willing to support each others assigned task's.		2.0
<b>Category 4</b>		
1. The Homeland Security organization members have decision authority and are given direction through supportive leadership.		3.0
2. The Homeland Security organization dedicates members that are consistent over time and take full responsibility and accountability for their assignment.		2.0
3. The Homeland Security organization is committed to devote the resources needed to accomplish the established mission and goals.		3.0
<b>Category 5</b>		
1. The Homeland Security organization members are honest, mutually respectful and limit personal and agency agendas.		3.0
2. The Homeland Security organization members build trust and relationships through working and training together towards shared goals.		2.0
3. The Homeland Security organization members are respectful of other member's diverse perspectives, backgrounds and work assignments.		3.0

The Base Metric

Organization: General HLS Assessment	Evaluation Scale:	Total Team Rating:
Date: January 21, 2007		<b>50</b>
The following are the results from your responses to the metric. Overall and separate component scores are recorded. In addition, a positive or negative response is recorded for each of the 15 statements.	75 - 100 = <span style="color: green;">■</span> 50 - 74 = <span style="color: yellow;">■</span> < 50 = <span style="color: red;">■</span>	
<b>Structure</b>	<b>55</b>	
Category 1 is designed to measure how well your homeland security organization is structured. Having defined goals and objectives, having the right people at the table, and measuring success are included in this component of teamwork.	Question 1 response:	Negative
	Question 2 response:	Negative
	Question 3 response:	Positive
<b>Communication</b>	<b>47</b>	
Category 2 is designed to measure how well your homeland security organization communicates within and outside the team.	Question 1 response:	Negative
	Question 2 response:	Negative
	Question 3 response:	Positive
<b>Collaboration</b>	<b>42</b>	
Category 3 is designed to measure how well your homeland security team collaborates between the multi-discipline organizational members. Collaboration can be described as a combination of coordination and cooperation where resources are shared between organizations	Question 1 response:	Negative
	Question 2 response:	Positive
	Question 3 response:	Negative
<b>Commitment</b>	<b>53</b>	
Category 4 is designed to measure the commitment of the team members and the leaders of the organizations that support your homeland security organization.	Question 1 response:	Positive
	Question 2 response:	Negative
	Question 3 response:	Positive
<b>Trust</b>	<b>53</b>	
Category 5 is designed to measure the critical component of trust between the team members within and outside the homeland security organization.	Question 1 response:	Positive
	Question 2 response:	Negative
	Question 3 response:	Positive

Summation Sheet

# Metric Summary



Graphic Metric Summary

## **APPENDIX B**

The Mouse-Over Comments are included in the metric for further clarification of each component statement. The Summation Sheet is included for further clarification of the components on the Metric Summation page and the Graphic Metric Summary page of the completed metric.

## **Mouse-Over Comments for the Metric**

### **Category 1 (Structure)**

1. Goals are broad in nature and designed to assist in achievement of the HLS mission. Measurable objectives are written to achieve the goals and members are tasked with their achievement.

2. Oversight is provided where assessment of progress is given.

3. The local homeland security organizations are Law Enforcement, Fire Service, Public Health and Emergency Management. Additional organizations that contribute to the capabilities of the HLS organization can be included in this statement. In addition, each organization has the right people at the “table”. The members have the knowledge, skills, ability that is requisite of their discipline and they have the authority to make decisions for their organizations.

### **Category 2 (Communication)**

1. A formalized plan and structure exists that facilitates communications of HLS organizational functions. This statement is inclusive of the varied forms of communication which should include electronic mail, telephone, radio’s pagers and hard copy mail.

2. The established communications structure is regularly updated, current and is used by its members to stay abreast of the status of HLS issues.

3. Those agencies that are affected by the activities of the HLS organizations are kept well informed and can access information when needed. This includes all HLS stakeholders that impact mission success.

### **Category 3 (Collaboration)**

1. Protocol alludes to a clear understanding throughout the HLS organization that cooperation and coordination between the multidiscipline organizations is mandatory for success of the mission.

2. The knowledge, skills, and abilities that are inherent within each of the varied disciplines are valued and utilized in accomplishing HLS goals, objectives, and tasks.

3. The multidiscipline organizations share resources between the various agencies in accomplishing the HLS mission. This includes manpower and equipment that may not belong specifically to the HLS organization.



**Category 4 (Commitment)**

1. Those assigned to the HLS organization can commit time and resources from their respective agencies without acquiescence from their intra-agency leaders.

2. There is limited turnover within the HLS organizational membership. Representatives assume responsibility for achieving objectives and tasks.

3. The agency representatives have adequate time and funding to accomplish the HLS mission.

**Category 5 (Trust)**

1. HLS organizational members display strong ethical behavior that is consistent with public safety organizations. The members take ownership in the HLS organizational mission, goals and objectives.

2. Members continually demonstrate dedication to the mission and support continuous improvement. This can be accomplished through exercising capabilities, effective after action reviews with positive reinforcement.

3. Members are aware of the cultural (organizational, ethnic, gender, etc.) differences and maintain professional demeanor required to build a cohesive team.

## **Summation Sheet**

### **Structure**

The structure of the Homeland Security organization is identified as an important component of teamwork. Defined goals and objectives, the right people at the table and measures of success are included in this component of teamwork. The structure of local Homeland Security organizations must include—at a minimum—the core agencies identified by the DHS. They are Law Enforcement, Fire Service, Emergency Management, and Public Health. With regionalization, community-wide Homeland Security organizations may consist of several other agencies within each of these disciplines. For example, it is common in Urban Area Security Initiative (UASI) regions that law enforcement agencies—both municipal police and county sheriff offices—have community-wide law enforcement missions that require each agency provide Homeland Security representation. For an effective local Homeland Security organization, every agency with responsibility or resources critical for prevention, protection, response, and recovery of events of mass effect must be represented. The following statements measure how well a specific Homeland Security organization is structured.

1. The Homeland Security organization mission and goals are written, defined, quantifiable, acknowledged and accepted by all the members.
2. The Homeland Security organization members have methods in place to periodically measure their progress towards the defined mission and goals.
3. The Homeland Security organization is represented by the four key disciplines and the membership is knowledgeable and competent within their discipline.

### **Communication**

How well the Homeland Security organization communicates—within and outside the team—is a critical component of teamwork. This is inclusive of all types of communications including the many variations of written and verbal communications. In addition, having the ability and culture where information is shared between the different agencies involved in the Homeland Security mission is covered by this component. Communications is often cited as lacking within many organizations. Homeland Security organizations must have a structure and protocol in place where information can be

shared throughout the organizations and throughout the many different disciplines that participate in achieving the defined goals and objectives. The protocol should be designed to overcome the differences in lexicon that exist between the various disciplines. The following statements were developed to measure communications.

1. The Homeland Security organization's work is planned, organized, and communicated to all members.
2. The Homeland Security organization members are kept well-informed about information, events, changes, or data that might affect their particular work.
3. The Homeland Security organization members present recommendations and decisions to their leaders and partner organizations that effect the Homeland Security organization.

### **Collaboration**

The statements were designed to measure how well the Homeland Security team collaborates between the multidiscipline organizational members. Collaboration can be defined as a progression from coordination to cooperation before achieving collaboration where resources are shared between organizations. Coordination is the lowest level at which the various agencies communicate with each other. Cooperation is the level at which agencies assist other agencies when requested. Collaboration occurs when the agencies involved are able to use each other's resources and expertise to accomplish the assigned goals and objectives. Collaboration cannot be achieved without accomplishing a significant level of communication, trust, and commitment. The barriers to collaboration are the focus of several Homeland Security study groups and have been stressed by the DHS as critical for achieving Homeland Security goals and objectives.

1. The Homeland Security organization has a protocol for interaction which fosters a collaborative environment.
2. The Homeland Security organization members utilize each other's strengths, differences and unique capabilities.
3. The Homeland Security organization shares resources and are willing to support each other's assigned tasks.

## **Commitment**

The statements are designed to measure the commitment of the team members and the leaders of the multidiscipline organizations that comprise the local Homeland Security team. Commitment is required from the organizations and the representatives who are assigned to the Homeland Security organization. The organizations must provide the time and resources needed to accomplish the established goals and objectives. The personnel assigned to the Homeland Security organization must be willing to dedicate their time and expertise and are accountable for achieving assigned goals and objectives.

1. The Homeland Security organization members have decision authority and are given direction through supportive leadership.
2. The Homeland Security organization dedicates members that are consistent over time and take full responsibility and accountability for their assignment.
3. The Homeland Security organization is committed to devote the resources needed to accomplish the established mission and goals.

## **Trust**

The statements are designed to measure the critical component of trust between the team members within and outside the Homeland Security organization. Trust is required for organizations to share responsibility and resources between the varied disciplines. Trust cannot be mandated and can only be achieved over time. Leaders must guard against organizational cultures where competition between agencies has resulted in perceived inequality. Politics and personal agendas must also be managed.

1. The Homeland Security organization members are honest, mutually respectful and limit personal and agency agendas.
2. The Homeland Security organization members build trust and relationships through working and training together towards shared goals.
3. The Homeland Security organization members are respectful of other member's diverse perspectives, backgrounds and work assignments.

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